



# **AGENDA**

## **Ordinary Council Meeting Tuesday, 16 February 2021**

**I hereby give notice that an Ordinary Meeting of Council will be held  
on:**

**Date: Tuesday, 16 February 2021**

**Time: 7.00pm**

**Location: Town of Claremont  
Claremont Council Chambers  
308 Stirling Highway, Claremont**

**Liz Ledger  
Chief Executive Officer**

**DISCLAIMER**

Would all members of the public please note that they are cautioned against taking any action as a result of a Council decision tonight until such time as they have seen a copy of the Minutes or have been advised, in writing, by the Council's Administration with regard to any particular decision. This meeting shall be recorded for Administration purposes only.



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- 1 DECLARATION OF OPENING/ANNOUNCEMENT OF VISITORS**
- 2 RECORD OF ATTENDANCE/APOLOGIES/LEAVE OF ABSENCE (PREVIOUSLY APPROVED)**
- 3 DISCLOSURE OF INTERESTS**
- 4 RESPONSE TO PREVIOUS PUBLIC QUESTIONS TAKEN ON NOTICE**  
Nil
- 5 PUBLIC QUESTION TIME**
- 6 PUBLIC STATEMENT TIME**
- 7 APPLICATIONS FOR LEAVE OF ABSENCE**
- 8 PETITIONS/DEPUTATIONS/PRESENTATIONS**  
Nil
- 9 CONFIRMATION OF MINUTES OF PREVIOUS MEETINGS**  
That the minutes of the Ordinary Meeting of Council held on 2 February 2021 be confirmed.
- 10 ANNOUNCEMENT OF CONFIDENTIAL MATTERS FOR WHICH THE MEETING MAY BE CLOSED TO THE PUBLIC**
- 11 BUSINESS NOT DEALT WITH FROM A PREVIOUS MEETING**  
Nil

**12 REPORTS OF COMMITTEES****12.1 AUDIT AND RISK MANAGEMENT COMMITTEE****12.1.1 MINUTES OF THE AUDIT AND RISK MANAGEMENT COMMITTEE MEETING HELD ON 5 FEBRUARY 2021**

**File Number:** GOV/00054, D-21-05007

**Author:** Bree Websdale, Director Governance and People

**Authoriser:** Liz Ledger, Chief Executive Officer

**Attachments:** 1. Minutes of Audit and Risk Management Committee Meeting held on 5 February 2021 [↓](#) 

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**OFFICER RECOMMENDATION**

1. That the Minutes of the Audit and Risk Management Committee Meeting held on 5 February 2021 be received and the recommendations therein be adopted.



# **MINUTES**

## **Audit and Risk Management Committee Meeting Friday, 5 February 2021**

**Date: Friday, 5 February 2021**

**Time: 8.00am**

**Location: Zoom Videoconferencing**

**Liz Ledger  
Chief Executive Officer**

**DISCLAIMER**

Persons present at this meeting are cautioned against taking any action as a result of any Committee recommendations until such time as those recommendations have been considered by Council and the minutes of that Council meeting confirmed.

Audit and Risk Management Committee Meeting Minutes5 February 2021**Order Of Business**

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<b>10</b>	<b>Declaration of Closure of Meeting .....</b>	<b>75</b>

**MINUTES OF TOWN OF CLAREMONT  
AUDIT AND RISK MANAGEMENT COMMITTEE MEETING  
HELD AT THE TOWN OF CLAREMONT, CLAREMONT COUNCIL CHAMBERS, 308 STIRLING  
HIGHWAY, CLAREMONT  
ON FRIDAY, 5 FEBRUARY 2021 AT 8.00AM**

**1 DECLARATION OF OPENING / ANNOUNCEMENT OF VISITORS**

Cr Haynes welcomed staff and members of the Audit and Risk Management Committee and declared the meeting open at 8.02am.

**2 RECORD OF ATTENDANCE / APOLOGIES**

**PRESENT:**

Mayor Jock Barker

Cr Bruce Haynes

Cr Paul Kelly

Cr Peter Telford

Community Representative Marguerite Anklesaria

Community Representative Aiden Daly

**IN ATTENDANCE:**

Liz Ledger, Chief Executive Officer

Bree Websdale, Director Governance and People

Vicki Cobby, Manager Finance

**LEAVE OF ABSENCE:**

Nil

**3 DISCLOSURE OF INTERESTS**

Nil

**4 CONFIRMATION OF MINUTES OF PREVIOUS MEETING**

**COMMITTEE RESOLUTION 001/21**

Moved: Mayor Jock Barker

Seconded: Cr Paul Kelly

That the minutes of the Audit and Risk Management Committee Meeting held on 30 October 2020 be confirmed.

**CARRIED**



Audit and Risk Management Committee Meeting Minutes

5 February 2021

**5 PRESENTATION**

Nil

## 6 REPORTS OF THE CEO

### 6.1 UPDATE ON REGULATION 17 AUDIT RECOMMENDATIONS

File Number:	GOV/00054, D-20-49877
Author:	Bree Websdale, Director Governance and People
Authoriser:	Liz Ledger, Chief Executive Officer
Attachments:	<ol style="list-style-type: none"><li>1. Regulation 17 Audit Report</li><li>2. Complaints Management</li><li>3. Risk Management Policy</li><li>4. Legislative Compliance Policy</li><li>5. Public Interest Disclosure Policy</li><li>6. Fraud Prevention Policy</li><li>7. Corporate Purchasing Cards Policy</li><li>8. Purchasing Policy</li><li>9. Purchasing Policy (with tracking)</li><li>10. Bank Account Policy</li></ol>

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### PURPOSE

To provide the Audit and Risk Committee with a further update on the recommendations from the audit undertaken pursuant to Regulation 17 of the *Local Government (Audit) Regulations 1996*.

### BACKGROUND

*Local Government (Audit) Regulations 1996*, Regulation 17 prescribes a number of matters that are to be reviewed by a local governments Audit and Risk Management Committee. Regulation 17 provides:

- (1) *The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to —*
  - (a) *risk management; and*
  - (b) *internal control; and*
  - (c) *legislative compliance.*
- (2) *The review may relate to any or all of the matters referred to in subregulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review not less than once in every 3 financial years.*
- (3) *The CEO is to report to the audit committee the results of that review.*

A review was conducted by consultant, Avant Edge Consulting and a report produced dated 21 May 2020 (see attachment 1).

The report outlined 16 improvement opportunities for the Town. This report sets out progress of the Town on a number of the findings.

An update on progress achieved was reported to the committee on 30 October 2020.

### DISCUSSION

#### Policy Manual

One of the findings from Avant Edge Consulting was that the Town's policy manual was missing a number of key policies.

<b><i>Finding 14: Need to Update the Town Policy Manual</i></b>	<b><i>Recommendation</i></b>
<p>The policy manual does not provide appropriate policy guidance in regards to the following key processes:</p> <ul style="list-style-type: none"> <li>• Complaints Management</li> <li>• Risk Management</li> <li>• Cash Receipting and Banking</li> <li>• Legislative Compliance</li> </ul>	<p>The Town, via the Governance unit review the Town's Policy Manual to include the following processes and any other policies that have been identified as part of this review report that need to be included in the Town's Policy Manual.</p> <ul style="list-style-type: none"> <li>• Complaints Management</li> <li>• Risk Management</li> <li>• Cash Receipting and Banking.</li> <li>• Legislative Compliance.</li> </ul>

The report recommended and the following policies have now been drafted:

1. LG541- Complaints Management (See attachment 2).
2. LG534- Risk Management (See attachment 3).
3. LG539 -Legislative Compliance (See attachment 4).

<b><i>Finding 2: Need to Develop a Fraud Prevention Policy</i></b>	<b><i>Recommendation</i></b>
<p>The Town does not currently have in place a "Fraud Prevention Policy" or a "Whistle blower Policy. Such a policy would outline the importance and responsibility that all staff have in the Town have in ensuring that fraud is prevented through proper adherence and compliance with existing management controls".</p> <p>We understand that the Town is currently in the process of developing such policies</p>	<p>The Town develop a formal "Fraud Prevention Policy" and guidelines to empower staff prevent the occurrence of fraud and to report suspected fraud.</p> <p>The Town also give consideration to developing a "Whistle Blower Policy" and guidelines in order to protect staff confidentiality when staff need to report suspected fraudulent activity.</p>

The report recommended and the following policies have now been drafted:

4. LG536- Public Interest Disclosure (See attachment 5).
5. LG538- Fraud Prevention (see attachment 6).

A detailed review of the entire Policy manual is in progress to be presented to Council before 30 June 2021.

The following policies have been reviewed and where appropriate amended. These draft policies are provided to the Committee for their review and input prior to presentation to Council:

1. LG512 -Corporate Purchasing Cards (See attachment 7). This policy is largely unchanged (maybe just say what has changed).

## Audit and Risk Management Committee Meeting Minutes

5 February 2021

2. LG509- Procurement, now called "Purchasing" policy (See attachment 8 and 9, a tracked and clean version are attached). This policy has been rewritten to make it more concise and easier for employees to read and understand. Additional exemptions have been provided including provision of services from WALGA and LGIS.
3. LG 530- Bank Accounts and Payments, now called "Bank accounts" policy (See attachment 10). This policy addresses bank accounts and signatories. This policy has been amended.

**Cash Handling**

<b>Finding 12: Need Safer Process for Cash in Transit</b>	<b>Recommendation</b>
<p>The Town currently has cash receipting facilities at the Administration building, Library and the Aquatic Centre.</p> <p>We understand that all banking of cash and cheques is undertaken by staff at these centres and the Town does not use armed guard security services to collect and deliver cash and cheques to the Town's bank.</p>	<p>The Town reassess the potential risk associated with staff carrying cash to the bank versus the associated cost of using armed security services.</p>

A report on the cash handling processes of the Aquatic Centre was provided to this committee in the October 2020 meeting.

Since this time, Job Safety Analysis in relation to banking and cash handling has been undertaken for each of the Library Community Hub and the Town's Administration Building (reception/customer service desk). The peak risk ratings for each facility have been assessed as 4 with current controls in place; that being a Low Risk.

Many of the precautions, processes and security measures in place at the Aquatic Centre are also in place at both the Library and Main Administration desk. These include:

1. The Town has procedures for armed hold up and theft.
2. The reception area is secure with access doors able to be locked closed.
3. The reception areas are always staffed or otherwise closed to the public.
4. The till draw is closed when not in use.
5. Counting is undertaken behind closed doors or at times when closed to the public.
6. The counting is carried out on different days and times to minimise routine.
7. Staff are trained in cash handling.
8. Multiple duress alarms are in place and are monitored by external security companies.
9. Banking run times and days are varied.

*Library and Community Hub*

The amount of cash takings and float at the Library are very low, mainly comprising late fees, lost book charges and photocopying payments. A secure coin box is in place for photocopy payments.

Existing CCTV covers the car park near the entrance to the Library. As part of this review, actions have been taken to install an additional camera to monitor the library entrance. There is no CCTV over the POS terminal. This is not considered a material risk given the extremely low levels of cash involved.

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There are a minimum of two staff on duty during opening times.

#### Administration Building

Cash levels at the Administration customer service desk are considered low. Takings are banked daily to minimise cash holdings.

Multiple existing CCTV cameras cover both entrances, external areas surrounding the administration lobby, the lobby and main desk. The reception area is in a highly visible location with moveable acrylic barriers between the public areas and the service staff.

Multiple front desk staff members are on duty during business hours. The secure doors to the Administration Building are locked outside of business hours.

The audit report stated *"Security over point of sale systems for the receipting of cash is essential not only for the safeguarding of cash but for the overall safety of staff who operate those systems. As such all point of sale systems where cash is receipted should be protected by CCTV cameras and duress alarms"*.

Both the Library and Administration building Customer Service desk have duress alarms in the reception areas. These alarms are regularly tested.

The Town has assessed the potential risk associated with staff carrying cash to the bank as a Low Risk versus the associated cost of using armed security services.

Additional measures to encourage payment via electronic and online methods could be investigated. This may result in not only lower levels of cash. Although older ratepayers tend to prefer to pay in person in cash. An eftpos machine could be provided for use at the library.

The Town is overall satisfied with the current arrangements and recommend they remain in place.

#### Financial Management Review

Finding 16.0. Need to Establish an Internal Audit Activity for the Town	Recommendation
<p>The Town does not have in place a dedicated Internal Audit Activity which is able to undertake routine risk management, internal control and legislative compliance audits.</p> <p>Such an activity, should it be established, would be responsible for reporting their findings and recommendations directly to the Audit and Risk Management Committee assisting the Audit and Risk Management Committee in meeting their governance responsibilities.</p> <p>Although The town's annual financial statements auditors do undertake control assessments, these relate mainly to finance related processes and are limited only in relation to such processes impacting on the accuracy of the reported financial statement figures.</p> <p>The Internal Audit Activity can be established either as an inhouse function or outsourced to a reputable accounting/audit firms who specialise in providing Internal Audit services.</p>	<p>The Town CEO, through the Governance unit and the Audit and Risk Management Committee give consideration to the establishment of an Internal Audit Activity for the Town.</p> <p>Consideration be given to establishing a 3 year internal audit program, endorsed by the Audit and Risk Management Committee, made up of potential audits to be carried out based on the Town's identified strategic and operational risks.</p>

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A Financial Management Audit is currently being undertaken by Moore Australia. This is an external audit but still relevant to Finding 16.

The Town is in the process of providing the requested information by Moore Australia.

Moore Australia will be attending the Town's office in early February 2021.

**PAST RESOLUTIONS**

Audit and Risk Management Committee, 29 May 2020

**COMMITTEE RESOLUTION 007/20**

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

1. Note the Chief Executive Officer (CEO)'s Report (as per Attachment 1); and
2. Request the CEO to present the progress of the recommendations on a quarterly basis.

CARRIED

Audit and Risk Management Committee, 30 October 2020

**COMMITTEE RESOLUTION 011/20**

That the Audit and Risk Management Committee notes the contents of this report

CARRIED

**FINANCIAL AND STAFF IMPLICATIONS**

Resource requirements are in accordance with existing budgetary allocation.

**POLICY AND STATUTORY IMPLICATIONS**

*Local Government (Audit) Regulations 1996*

**COMMUNICATION / CONSULTATION**

There has been consultation with the relevant business units, executive team and Chief Executive Officer.

Apart from the consultant's undertaking the Financial Management Review, there has been no consultation outside of the Town administration required.

**STRATEGIC COMMUNITY PLAN****Leadership and Governance**

*We are an open and accountable local government; a leader in community service standards.*

- Demonstrate a high standard of governance, accountability, management and strategic planning.
- Continually assess our performance and implement initiatives that drive continuous improvement.

**URGENCY**

Nil

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Audit and Risk Management Committee Meeting Minutes

5 February 2021

**VOTING REQUIREMENTS**

Simple Majority decision of Council (*More than half the elected members present are required to vote in favour*).

**OFFICER RECOMMENDATION**

That:

1. The Audit and Risk Committee notes the contents of this report.

**COMMITTEE RESOLUTION 002/21**

Moved: Mayor Jock Barker

Seconded: Cr Paul Kelly

1. The Audit and Risk Committee notes the contents of this report.

**CARRIED**



AUDIT &amp; ASSURANCE SERVICES

Liability limited by a scheme approved under Professional Standards Legislation

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21 May 2020

CEO  
Town of Claremont  
Number One Claremont  
308 Stirling Highway  
CLAREMONT WA 6010

Dear Ms Ledger

Please find attached our final review report on the Regulation 17 review of the Town of Claremont.

As per Regulation 17(1), (2) and (3) of the Local Government (Audit) Regulations 1996, the CEO is required to undertake a review, at least once every 3 financial years, of the following processes:

- Risk Management;
- Internal Control;
- Legislative Compliance.

Our review report details our findings and recommendations which includes management comments in regards to our findings and recommendations.

We would like to thank your staff for their positive cooperation provided to us during the conduct of this review especially in light of the COVID 19 distancing restrictions which applied throughout this review process.

Yours sincerely

Santo Casilli FCPA MIIA (Aust.)  
Director

**Avant Edge Consulting**

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Web: [www.avantedgeconsulting.com.au](http://www.avantedgeconsulting.com.au)



## Town of Claremont

# Regulation 17 Review

21 May 2020

Final Review Report

(Review in Confidence)

Avant Edge Consulting  
Certified Practising Accountant

Liability limited by a scheme approved under Professional Standards Legislation

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## Executive Management Summary

As per Regulation 17(1), (2) and (3) of the *Local Government (Audit) Regulations 1996*, the Chief Executive Officer (CEO) is required to undertake a review, at least once every 3 financial years, of the following processes:

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

The Town of Claremont (the Town) uses Council First as its accounting system and has a Policy Manual (last updated 18 December 2018 but currently undergoing a review) governing its operational processes.

### SCOPE AND METHODOLOGY

Our review was conducted in accordance with ASAE 3500 – Assurance Engagement Other Than Audits or Reviews of Historical Financial Information.

The review undertook the following approach:

- Discussions were held with relevant staff to understand the processes and the management controls currently in place. Communications were held with the Manager Governance, Manager Finance and Manager Human Resources throughout the review process.
- Assessed the adequacy of key management controls currently in place over the risk management, accounts payable, cash receipting, payroll, staff recruitment and procurement functions and evaluated those controls to determine their appropriateness and also to identify areas for control process improvement.
- Due to the COVID 19 Government imposed social distancing rules and the subsequent closure of the Town's administration and out centres such as the Library and Aquatic Centre and staff working from home, all information was requested and received via email and via phone contact.

### OUR WORK PROGRAM

Our work incorporated the following areas for review as required under Regulation 17:

#### 1. RISK MANAGEMENT

- a. Governance Framework is in place and endorsed by the Audit and Risk Management Committee.
- b. A formal governance unit exists.
- c. Risk Management and governance policies are in place and have been endorsed by the Audit and Risk Management Committee/Council.
- d. An Operational and Strategic Risk Register is in place and is constantly reviewed and updated.
- e. Regular development of risk reports and actions to address risks are identified and actioned.

**Regulation 17 Review****Town of Claremont**

- f. Fraud Risk Identification and Prevention policies are in place including a Whistle Blower policy.
- g. An effective Audit and Risk Management Committee exists and proper Committee processes are followed.

**2. INTERNAL CONTROL**

- a. Delegation of Authority is in place, up to date and reviewed regularly.
- b. Proper and formal documented policies (guidelines and procedures) are in place and are kept up to date.
- c. Internal assessment of control processes exists e.g. via an internal audit function or by the Town's Governance area.
- d. Assessed the work undertaken by the Town's external Auditors re the review of the town's control environment.
- e. Proper segregation of duties and management controls exist in relation to the following key accounting processes:
  - o Accounts payable;
  - o Cash collection, receipting and reconciliation;
  - o General Ledger reconciliation and checking functions;
  - o Payroll;
  - o Staff recruitment and staff performance appraisals;
  - o Procurement.

**3. LEGISLATIVE COMPLIANCE**

- a. The Compliance Audit Return (CAR) is properly completed each year and any non-compliance matters are investigated promptly.
- b. Legislative compliance is monitored and regularly reviewed to ensure compliance.

**CONCLUSION**

Based on our assessment of the management controls and processes that exist at the Town in regards to the above 3 key areas of the Regulation 17 review, we noted a number of areas that require process improvement. We believe that management implementation of the process improvements that we have identified as part of our review will strengthen existing management controls currently in place and will also improve overall governance within the Town's operations.

We are happy to report that there were no high risk matters that would require immediate attention by the Town Management.

The matters raised in this report are only those which came to our attention during the course of performing our review and may not necessarily be a comprehensive statement of all the possible process improvement options that may be made in relation to the Risk Management, Internal Control and Legislative Compliance matters.

Our review report is provided to the Town in order for the Town to meet their statutory obligations under Regulation 17 and as such we do not encourage this report to be used for any other purpose.

In relation to the above areas that formed part of our review, we wish to provide a summary of our findings. Our proposed recommendations in regards to each finding, including management comments as to action to be taken against each of the findings and

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recommendations, have been included in the "Detailed Findings and Recommendations" section of this report:

**RISK MANAGEMENT**

The Town currently does have in place a final and endorsed Risk Management Framework which outlines the Town's risk identification systems and policies and outlines how the Town will manage its risks. The Town has in place a risk management system (a process by which both strategic and operational risks are identified for ongoing management and review) via the establishment of an integrated risk register. However, the risk register was last updated in August 2018 and needs to be updated. The Town's governance position became vacant in late 2018 with the new incumbent commencing early 2020.

The Town does not currently have in place a "Fraud Prevention Policy" and a "Whistle Blower Policy". We understand these two policies are being drafted by the Town as they were identified as required as part of the policy manual review being undertaken. Such policies outline the importance and responsibility that all staff in the Town have in ensuring that fraud is prevented through proper adherence and compliance with existing management controls and that where fraud is suspected that it is reported for investigation.

**INTERNAL CONTROL*****Procurement***

The Town's procurement process requires improvement. The following should be considered by management:

1. Monitoring the Town's procurement process.

The Town's procurement process is decentralised and as such all procurement decisions and actions are managed by the various operational areas based on their procurement needs. Although the Town's procurement policy is outlined in the Town's Policy Manual (LG509, "Procurement") and in process maps, other than the policy there is no formal centralised procurement team or area whose sole role is to provide procurement guidance to the various operational areas nor is there any formal monitoring role set up to ensure proper procurement policy and processes are being consistently complied with.

As part of our review and our discussions with two contract managers we were unable to be satisfied that conflict of interest declarations were being provided by selection panel members at all times, supplier contracts were being effectively managed throughout the contract period and that RFQ or RFT processes were being properly complied with at all times when seeking quotations.

The current tender register is set up correctly but as procurement is not centralised it requires each operational area to complete and document each part of the procurement process as required under the Part 4 *Local Government (Functions and General) Regulations 1996*. However, on review, the tender register has not been completed in full by each operational area. We recommended that the Town follow up each operational area and establish whether these are instances of non-compliances or failure to complete the tender register.

In addition, we believe that consideration should also be given to include, even though these requirements may not be applicable to the Town, in the Town's Policy Manual (under the procurement policy) the requirements of Section 20(1) and (2) and 21A.

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**2. Implementing end of contract supplier performance appraisals work procedures**

The establishment of Contract Management procedural guidelines is an important and essential element in ensuring that contracted suppliers comply with their contractual obligations, provide goods and services to a high quality and charge for such goods and services in accordance with the agreed and quoted price rate. Further, end of contract supplier performance appraisals allows the Town to evaluate the quality of services provided and to determine whether the supplier should be sought again for future work for the Town.

**3. Establishing work procedures**

The Town does not have in place formal written procurement work procedures that would provide greater guidance to officers within operational areas responsible for procurement of the Town's goods and services. For example, there are no work procedures or work guidelines governing contract management process relating to the need to ensure supplier insurances are sought annually for each of the contract terms, end of contract supplier performance appraisals, panel selection team members signing off the final tender assessments, the need for conflict of interest declarations to be signed by each panel member and the tender opening process.

The Town has recently required all staff to complete a WALGA training module on Procurement and staff have access to the WALGA procurement tool kit.

**Accounts Payable**

The Town's accounts payable process requires improvement. The following should be considered by management:

**1. Policies to reference work procedures**

The Town Policy Manual does not reference key accounts payable work procedures relating to new supplier creation and maintenance of supplier details as below:

- a. Creation of a new supplier process;
- b. Changing a supplier's legal name and bank account details process;
- c. Managing inactive suppliers;
- d. Independent checking of modifications made to the supplier database.

**2. Purchase Orders**

The Town is required to initiate an approved purchase order at the time a supplier is contracted to provide goods and services. Our review found that in many cases the purchase order is being initiated and approved at the stage the Town receives a supplier invoice for payment processing. Issuing of an approved purchase order at the time of receiving the supplier's invoice undermines the management control effect of using purchase orders. Purchase orders provide the necessary authorisation to commit the Town to a future payment and therefore its use is more effective at the time of awarding a supplier contract.

The Town Policy Manual should also make it clear as to when a purchase order should or should not be raised. Purchase Orders are an effective control mechanism for the approval of purchases relating to goods and services. However, purchase orders are not required for administrative type payments such as Synergy bills, Water Corporation bills, staff

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Town of Claremont

reimbursements etc. or for regular ongoing payments such as loan payments. In most cases these are ongoing operational day to day payments.

The Town's Policy Manual does not clearly provide for the process to follow where there is a purchase order/supplier invoice matching variance. Although, we understand, at present any variations between the approved \$ value of a purchase order and the matching supplier invoices requires further authorisation prior to payment, there is no variance tolerability. That is, should there be a variance of say 5% or up to \$100 between the purchase order approved value and the supplier invoice value, the invoice can be paid without further authorisation.

**3. Creating Purchase Invoices process**

When the Finance area is required to create a purchase invoice (loan repayments and other similar administrative type payments) which requires payment via a direct deposit, we understand that the Finance Officer creates a Direct Deposit Request Form which is signed by the Manager Finance and also by the Director Corporate & Compliance. If the direct deposit amount is over \$150,000 (as per the authority limits) the Form is also required to be authorised by the CEO. The purchase invoice is then created electronically and is again also required to be authorised by the Manager Finance and the Director Corporate & Compliance (based on their Delegated \$ limits) or the CEO if over \$150,000.

We assessed this process as part of our review and have formed a conclusion that the process is inefficient and incorporates too many unnecessary approval levels.

**Cash receipting**

The Town's cash receipting and control over cash handling process requires improvement. The following should be considered by management:

**1. Cash Receipting and security**

The Town currently has cash receipting facilities at the Administration building, Library and the Aquatic Centre. We understand that all banking of cash and cheques is undertaken by staff at these centres and the Town does not use armed guard security services. We consider that staff carrying cash directly to the bank is highly risky and puts the Town staff under unnecessary risk during cash in transit.

Security over point of sale systems for the receipting of cash is essential not only for the safeguarding of cash but for the overall safety of staff who operate those systems. As such all point of sale systems where cash is receipted should be protected by CCTV cameras and duress alarms. During our review we were unable to physically visit the Library and the Aquatic Centre in order to sight the existence of these security features due to the closure of these sites as part of the COVID 19 social distancing restrictions. I have been advised that:

- The Library has two duress alarms at the point of sale. The CCTV is on the outside of the Library.
- The Aquatic Centre has a duress alarm in the reception office. The centre is also fitted with CCTV cameras on the main tills, safe and counting station. Further, the Town has applied for a grant to cover additional CCTV to cover the front and entrance of the Aquatic Centre.

We have recommended that the Town ensure that wherever cash is being receipted that there exists a working CCTV camera and duress alarms in place.

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**Regulation 17 Review****Town of Claremont****2. Policy Manual**

There are some key policies that are not included in the Town's Policy Manual. The policy manual does not provide appropriate policy guidance in regards to the following key processes:

- a. Complaints Management (We note the Town has a Customer Experience Charter);
- b. Risk Management;
- c. Cash Receipting and Banking; and
- d. Legislative Compliance.

**LEGISLATIVE COMPLIANCE****1. Compliance Checklist**

The Town has a comprehensive compliance calendar which is in the process of being updated by the Governance & Risk and Finance teams. This tracks all activities and actions required to ensure compliance with all legislative requirements associated with the *Local Government Act 1995*, the *Local Government (Functions & General) Regulations 1996* and the *Local Government (Audit) Regulations 1996*.

The annual Compliance Audit Return (CAR) is undertaken by the Governance unit (in consultation with all relevant operational areas as required) and reported through the Audit and Risk Management Committee prior to being tabled at Council.

Although the CAR and the comprehensive compliance calendar are appropriate to assess legislative compliance, it does not cater for all the legislative areas that require compliance. We have recommended the Governance unit develop various legislative compliance program checklists which can be distributed to the relevant operational areas for them to undertake a self-compliance assessment, say on an annual basis. Once completed the legislative compliance program compliance checklists should be signed-off by the relevant Managers and their Director as evidence that they have undertaken the compliance checks.

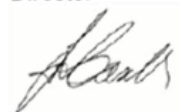
**2. Internal Audit Activity**

The Town does not have in place a dedicated Internal Audit Activity which is able to undertake routine internal control assurance work. Such an activity would be responsible for reporting their assurance findings and recommendations directly to the Audit and Risk Management Committee to provide comfort to the Committee in meeting their responsibilities and obligations. The establishment of an Internal Audit Activity would also allow the Town to meet its legislative obligations in regards to the *Local Government (Financial Management) Regulations 1996*, 5(2) (c) review and *Local Government (Audit) Regulation 1996*, Regulation 17 review requirements. The Internal Audit Activity can be established either as an inhouse function or outsourced via a reputable accounting/audit firm who specialise in providing Internal Audit services.

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Santo Casilli FCPA  
Director

21 May 2020



**Avant Edge Consulting**



Detailed Findings and Recommendations

## Regulation 17 Review

## Town of Claremont

Audited Area: Risk Management

Audited Activity: Risk Management Process

Finding	Implication	Recommendation	Management Comments
<b>1.0 Need to Update the Town's Risk Register</b>  The Town has in place a risk management system (a process by which both strategic and operational risks are identified for ongoing management and review) via the establishment of an integrated risk register. However, the risk register was last updated in August 2018 and is not fully completed and now requires updating.	<b>Risk:</b> <span style="border: 1px solid black; padding: 2px;">Medium</span>  <ul style="list-style-type: none"> <li>In the absence of an up to date and regularly reviewed risk register process the Town's risks would not be able to be effectively mitigated and any new risks identified</li> <li>The integrated risk register in the absence of identified risk actions may not be effective in mitigating risk.</li> </ul>	We recommend that: <ul style="list-style-type: none"> <li>The Town's integrated risk register be updated and completed as soon as possible and regularly reviewed to ensure any new strategic and operational risks to the Town can be identified and appropriate actions put in place to mitigate such risks.</li> <li>Also, that the updated and completed integrated risk register should be presented at the Audit and Risk Management Committee for approval on an annual basis.</li> </ul>	<b>Responsibility:</b> Director Governance & People  <b>Management Comments:</b> Agree

## Regulation 17 Review

## Town of Claremont

Audited Area: Risk Management

Audited Activity: Risk Management Policies

Finding	Implication	Recommendation	Management Comments
<b>2.0 Need to Develop a Fraud Prevention Policy</b>  The Town does not currently have in place a "Fraud Prevention Policy" or a "Whistle blower Policy. Such a policy would outline the importance and responsibility that all staff have in the Town have in ensuring that fraud is prevented through proper adherence and compliance with existing management controls. " We understand that the Town is currently in the process of developing such policies	<b>Risk:</b> <span style="border: 1px solid green; padding: 2px;">Low</span>  <ul style="list-style-type: none"> <li>In the absence of a fraud prevention policy and process the Town staff would not be empowered to report where possible fraud is suspected and reported for investigation.</li> </ul>	We recommend that: <ul style="list-style-type: none"> <li>the Town develop a formal "Fraud Prevention Policy" and guidelines to empower staff prevent the occurrence of fraud and to report suspected fraud.</li> <li>the Town also give consideration to developing a "Whistle Blower Policy" and guidelines in order to protect staff confidentiality when staff need to report suspected fraudulent activity.</li> </ul>	<b>Responsibility:</b> Director Governance & People  Director Corporate & Compliance  <b>Management Comments:</b> Agree

## Regulation 17 Review

## Town of Claremont

Audited Area: Internal Control

Audited Activity: Procurement

Finding	Implication	Recommendation	Management Comments
<p><b>3.0 Need for Centralised Procurement Monitoring</b></p> <p>The Town's procurement process is decentralised and as such all procurement decisions and actions are managed by the various operational areas based on their procurement needs. Although the Town's procurement policy is outlined in the Town's Policy Manual, other than the Manual, there is no formal centralised procurement team or area to provide procurement guidance to the various operational areas nor is there any formal monitoring role set up to ensure proper procurement policy and processes are consistently complied with.</p> <p>we were also unable to conclude that all procurement activity at the Town is strictly adhering to a proper process in line with the Town's Policy Manual and or in line with the <i>Local Government Act 1995 and the Local Government (Functions and General) Regulations 1996 requirements</i>.</p> <p>For example, we were unable to be satisfied of the following:</p> <ul style="list-style-type: none"> <li>• conflict of interest declarations was provided by selection panel members at all times.</li> </ul>	<p><b>Risk:</b> <span style="border: 1px solid black; padding: 2px;">Medium</span></p> <ul style="list-style-type: none"> <li>• No effective process in place to monitor whether goods and services procured from a supplier were properly procured via an RFQ or RFT process could lead to possible non-compliance or inconsistencies in the procurement process.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>• the Town, via possibly the Governance area, give consideration to developing a "Supplier Expenditure &gt; \$50,000" report. This cumulative report should be obtained from the Council First system, each month, listing the names of all suppliers used by the Town that have accumulated greater than \$50,000 in payments from the supply of goods and services.</li> <li>• all suppliers with an accumulated amount greater than \$50,000 should be investigated to determine how such services were procured either via an RFQ, RFT or via a WALGA supplier panel in line with Town policy and legislative requirements.</li> <li>• that a "Procurement Quality Checklist" document be developed by the Town to be completed by each officer within each operational area responsible for procurement of the Town's goods and services via RFQ's and RFT's.</li> <li>• the Checklist should include a listing of all key procurement stages that are required to be complied with when procuring</li> </ul>	<p><b>Responsibility:</b> Executive Team</p> <p><b>Management Comments:</b></p> <p>Agree. This will require resources and training to perform this function effectively. Future action will depend on budget and resource availability.</p>

Regulation 17 Review		Town of Claremont	
Finding	Implication	Recommendation	Management Comments
<ul style="list-style-type: none"> <li>supplier contracts were being effectively managed throughout the contract period,</li> <li>RFQ's and RFT's were being properly advertised and enacted on a timely basis once supply contracts had ended.</li> </ul>		goods and services via RFQ's and RFT's. The Checklist should be signed off by both the relevant procurement officer and the relevant Delegated officer as evidence that proper procurement process was followed in line with the Town's procurement policy and Local government Act and Regulation requirements	

Regulation 17 Review

Town of Claremont

**Audited Area:** Internal Control

**Audited Activity:** Procurement

Finding	Implication	Recommendation	Management Comments
<b>4.0 Need for Contract Management Guidelines to be Established</b>  Although the Town's Policy Manual outlines the procurement policies, the Town Policy Manual does not reference any formal guidelines in regards to Contract Management process.	<b>Risk:</b> <span style="border: 1px solid black; padding: 2px;">Medium</span>  <ul style="list-style-type: none"> <li>no guarantee that contracted suppliers comply with their contractual obligations, provide goods and services to a high quality and charge for such goods and services in accordance with the agreed and quoted price rate.</li> </ul>	We recommend that: <ul style="list-style-type: none"> <li>contract management guidelines be developed and referenced within the Town Policy Manual.</li> <li>Incorporate end of contract supplier performance appraisals.</li> </ul>	<b>Responsibility:</b> Executive Team  <b>Management Comments:</b>  Agree that contractor management guidelines should be drafted.  Agree that contractor supplied performance appraisals should be conducted.

## Regulation 17 Review

## Town of Claremont

Audited Area: Internal Control

Audited Activity: Procurement

Finding	Implication	Recommendation	Management Comments
<p><b>5.0 Need for Detailed Work Procedures and Guidelines to be Established.</b></p> <p>The Town does not have in place formal written procurement work procedures that would provide greater guidance to officers within operational areas responsible for procurement of the Town's goods and services.</p> <p>For example, there are no work procedures or work guidelines governing:</p> <ul style="list-style-type: none"> <li>panel selection team signing off the final tender assessments and supplier recommendations,</li> <li>signed conflict of interest declarations by each panel member,</li> <li>tender opening process. We have recommended that the Town give consideration to creating formal written procedures and guidelines in regards to all elements of the procurement activity</li> </ul>	<p><b>Risk:</b> Medium</p> <ul style="list-style-type: none"> <li>inconsistency in the procurement practices adopted by various operational areas.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>the Town give consideration to creating formal written work procedures and guidelines in regards to all elements of the procurement activity</li> </ul>	<p><b>Responsibility:</b> Executive Team</p> <p><b>Management Comments:</b></p> <p>Agree, this will require dedicated resources. Future action is dependent on resourcing and budget availability.</p>

## Regulation 17 Review

## Town of Claremont

Audited Area: Internal Control

Audited Activity: Procurement

Finding	Implication	Recommendation	Management Comments
<p><b>6.0 Need for Tender Register Information to be Compliant.</b></p> <p>The current tender register does not comply with some of the information requirements as outlined under Part 4 of the Local Government (Functions and General) Regulations 1996.</p> <p>These include Sections 17(2) (c) (iii) and 17(2) (d) &amp; (e).</p> <p>17(2) (c) (iii) – relates to reporting a list of acceptable tenders that submitted a tender and were assessed as part of the tender process</p> <p>17(2) (d) &amp; (e) – relates to reporting in the tender register a copy of the notice of invitation to tender and the name of each tender whose tender has been opened.</p>	<p><b>Risk:</b> <span style="border: 1px solid green; padding: 2px;">Low</span></p> <ul style="list-style-type: none"> <li>non-compliance with Local Government (Functions and General) Regulations 1996</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>the Town investigate these non-compliances and ensure the tender register is adjusted accordingly in regards to the requirements of Sections 17(2) (c) (iii), 17(2) 9D) and (e).</li> <li>consideration should also be given to include Section 20(1) and (2) and 21A of Part 4 of the Local Government (Functions and General) Regulations 1996.</li> </ul>	<p><b>Responsibility:</b> Director Governance &amp; People</p> <p><b>Management Comments:</b> Agree an investigation of non-compliance is required and the register to be adjusted.</p>



## Audit and Risk Management Committee Meeting Minutes

5 February 2021

## Regulation 17 Review

## Town of Claremont

**Audited Area:** Internal Control  
**Audited Activity:** Accounts Payable

Finding	Implication	Recommendation	Management Comments
<p><b>7.0 Need for Accounts Payable Policies to be revamped and improved.</b></p> <p>The Town Policy Manual does not clearly reference key accounts payable work procedures relating to:</p> <ol style="list-style-type: none"> <li>Creation of a new supplier process</li> <li>Changing a supplier's legal name and bank account details process</li> <li>Managing inactive suppliers</li> <li>Independent checking of modifications made to the supplier database</li> </ol>	<p><b>Risk:</b> Medium</p> <ul style="list-style-type: none"> <li>Provides for inconsistency in dealing with supplier creation and changes to supplier data base information</li> </ul>	<p>We recommend that the Town Policy Manual be updated to reference the following</p> <ol style="list-style-type: none"> <li>work procedures for new supplier creation and changes to supplier legal name and bank account details</li> <li>New suppliers can only be created upon receipt of a "New Supplier Creation Approval Form" which details the supplier's legal name and trading name, ABN, bank account details and signed by the supplier</li> <li>User access in Council First for creating a new supplier, should be restricted to only finance staff excluding bonds refund recipients) and to be approved by the Manager Finance and/or Director Corporate &amp; Compliance. Where the Manager Finance has created the new supplier then, for proper segregation of duties, the new supplier creation should be approved by the Director Corporate &amp; Compliance.</li> <li>All requests for change of a supplier's legal name and/or bank account must be provided in writing and signed, either from the supplier's email (clearly showing their company/business logo and/or name) or by post on the supplier's business letterhead and supported with evidence of new legal name and/or new bank account details</li> <li>as an additional control measure that the</li> </ol>	<p><b>Responsibility:</b> Director Corporate &amp; Compliance</p> <p><b>Management Comments:</b></p> <p>Agreed for points 1-4a including a new form to comply with segregation of duties prior to the Finance Team adding/amending.</p> <p>A supplier modification report is currently provided on a weekly basis on the EFT payment, reviewed by MF.</p>

Regulation 17 Review		Town of Claremont	
Finding	Implication	Recommendation	Management Comments
		Town establish from Council First system, a monthly "Supplier Modification Report" which lists all modifications/changes that have occurred to a supplier, in a given month, which should be independently checked on a sample basis and signed off by the Director Corporate & Compliance	

## Regulation 17 Review

## Town of Claremont

Audited Area: Internal Control

Audited Activity: Procurement/Accounts Payable

Finding	Implication	Recommendation	Management Comments
<b>8.0 Need to Ensure Proper Use of Purchase Orders.</b>  The Town is required to initiate an approved purchase order at the time a supplier is contracted to provide goods and services.  Our review found that in most cases the purchase order is being initiated and approved at the stage the Town receives a supplier invoice for payment processing.  Purchase orders provide the necessary authorisation to commit the Town to a future payment and therefore its use is more effective at the time of awarding a supplier contract.	<b>Risk: Medium</b>  <ul style="list-style-type: none"> <li>Issuing of an approved purchase order at the time of receiving the supplier's invoice undermines the management control effect of using purchase orders and the proper authorisation of purchase orders at the time a supplier is contracted.</li> <li>Increases the possibility of fraudulent action.</li> </ul>	We recommend that: <ul style="list-style-type: none"> <li>the Town clarify its policy and guidelines in regards to the proper use and approval of purchase orders to ensure that all purchase orders are initiated and approved at the date a supplier quote is accepted and/or a supplier contract for the supply of goods and services is enacted.</li> <li>A copy of the approved purchase order should be issued to the supplier at date of accepting their quote clearly stating that the supplier is required to state the purchase order number on their invoices.</li> </ul>	<b>Responsibility:</b> Director Corporate & Compliance  <b>Management Comments:</b>  Agree. LG509 Procurement Policy is currently under review due to recent legislative changes.  Finance procedures to be reviewed and updated.

Regulation 17 Review

Town of Claremont

**Audited Area:** Internal Control

**Audited Activity:** Procurement/Accounts Payable

Finding	Implication	Recommendation	Management Comments
<p><b>9.0 Purchase Orders not Required for Administrative Type Payments.</b></p> <p>The Town Policy Manual should make it clear as to when a purchase order should or should not be raised.</p> <p>Purchase Orders are an effective control mechanism for the approval of purchases relating to goods and services. However, we do not consider that purchase orders are required for administrative type payments such as Synergy bills, Water Corporation bills, staff reimbursements etc or for regular ongoing payments such as loan payments. In most cases these are ongoing operational day to day payments.</p> <p>We understand that purchase orders are at times also being requested by Finance for these administrative type payments.</p>	<p><b>Risk:</b> <span style="border: 1px solid green; padding: 2px;">Low</span></p> <ul style="list-style-type: none"> <li>Raising of purchase orders for day to day administrative type payments do not provide any additional control benefit.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>the Town Policy Manual also include, as part of the policy in regards to proper use of purchase orders, clarification as to types of administrative payments where purchase orders are not required for the payment of such invoices.</li> </ul>	<p><b>Responsibility:</b> Director Corporate &amp; Compliance</p> <p><b>Management Comments:</b></p> <p>Agree. To be implemented into Finance Procedures.</p>

## Audit and Risk Management Committee Meeting Minutes

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## Regulation 17 Review

## Town of Claremont

Audited Area: Internal Control

Audited Activity: Procurement/Accounts Payable

Finding	Implication	Recommendation	Management Comments
<p><b>10.0 Need to Establish Purchase Order/Invoice Matching Variance Tolerance Levels.</b></p> <p>The Town's Policy Manual does not clearly provide for the process to follow for the matching of an approved purchase order and a supplier invoice nor where there is a purchase order/supplier invoice matching variance.</p> <p>Although, we understand, at present any variations that is determined between the approved \$ value of a purchase order and the matching supplier invoice \$ value requires further authorisation prior to payment, there is no variance tolerability.</p> <p>That is, should there be a variance of say 5% or up to \$100 between the purchase order approved value and the supplier invoice value, the invoice can be paid without further authorisation.</p>	<p><b>Risk:</b> <span style="border: 1px solid green; padding: 2px;">Low</span></p> <ul style="list-style-type: none"> <li>provides a more efficient process based on risk management principles.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>In order to make the process more efficient, the Town should give consideration to establishing a suitable \$ and % variance that if met as part of the matching process, would not require further approval prior to payment.</li> <li>The Town Policy Manual should also clearly incorporate this variance policy and ensure the following processes are also clearly defined:</li> <li>Matching process between purchase order and supplier invoice</li> <li>Approval of supplier invoice variations</li> </ul>	<p><b>Responsibility:</b> Director Corporate &amp; Compliance.</p> <p><b>Management Comments:</b></p> <p>Agree and to be explored with new system. Preference for this to be incorporated into a Finance Work Procedures as opposed to a policy.</p> <p>Process of purchase order and invoice to be updated in existing Finance Procedures.</p>

## Regulation 17 Review

## Town of Claremont

**Audited Area:** Internal Control  
**Audited Activity:** Accounts Payable

Finding	Implication	Recommendation	Management Comments
<p><b>11.0 Need to Address Overuse of Authorisation Controls when Creating Purchase Invoices.</b></p> <p>When the Finance area is required to create a purchase invoice (loan repayments and other similar administrative type payments) which requires payment via a direct deposit, we understand that the Finance Officer creates a Direct Deposit Request Form which is signed by the Manager Finance and also by the Director Corporate &amp; Compliance. If the direct deposit amount is over \$150,000 (as per the authority limits) the Form is also required to be authorised by the CEO. The purchase invoice is then created electronically and is again also required to be authorised by the Manager Finance and the Director Corporate &amp; Compliance (based on their Delegated \$ limits) or the CEO if over \$150,000. After subsequent approvals have been given the purchase invoice is included in the payment run, which again requires approval by the Manager Finance or the Director Corporate &amp; Compliance (based on their Delegated \$ limits as cheque signatories) or the CEO if over \$150,000. We assessed this process as part of our review and have formed a conclusion that the process is inefficient and incorporates too many unnecessary approval levels.</p>	<p><b>Risk:</b> <span style="color: green;">Low</span></p> <ul style="list-style-type: none"> <li>Inefficient and unnecessary over use of authorisation control.</li> </ul>	<p>We recommend that the town give consideration to adopting the following authorisation process when dealing with creation of purchase invoices</p> <ul style="list-style-type: none"> <li>Requesting Officer - creates direct deposit request form</li> <li>Supervisor/Manager of Requesting Officer - authorises the direct deposit request form which gives authority for the Finance Officer to create a purchase invoice, regardless of the \$ amount</li> <li>Finance Officer - creates the purchase invoice in Council First system</li> <li>Relevant position - provides electronic authorisation of the purchase invoice in Council First system based on financial authority levels.</li> </ul>	<p><b>Responsibility:</b> Director Corporate &amp; Compliance</p> <p><b>Management Comments:</b></p> <p>Agree need to simplify this process and the Town will implement this new suggested process into its internal work procedures as well as disseminate to all staff.</p>

## Regulation 17 Review

## Town of Claremont

Audited Area: Internal Control

Audited Activity: Cash Handling

Finding	Implication	Recommendation	Management Comments
<b>12.0. Need Safer Process for Cash in Transit</b>  The Town currently has cash receipting facilities at the Administration building, Library and the Aquatic Centre.  We understand that all banking of cash and cheques is undertaken by staff at these centres and the Town does not use armed guard security services to collect and deliver cash and cheques to the Town's bank.	<b>Risk:</b> <span style="border: 1px solid black; padding: 2px;">Medium</span>  <ul style="list-style-type: none"> <li>staff carrying cash directly to the bank is highly risky and puts the Town staff under unnecessary potential risk during cash in transit.</li> </ul>	We recommend that <ul style="list-style-type: none"> <li>the Town reassess the potential risk associated with staff carrying cash to the bank versus the associated cost of using armed security services.</li> </ul>	<b>Responsibility:</b> Director Corporate & Compliance  <b>Management Comments:</b>  Agree. Risks to be considered by the Town as against cost implications.



Regulation 17 Review

Town of Claremont

**Audited Area:** Internal Control

**Audited Activity:** Cash Handling

Finding	Implication	Recommendation	Management Comments
<p><b>13.0 Use of CCTV and Duress Alarms</b></p> <p>Security over point of sale systems for the receipting of cash is essential not only for the safeguarding of cash but for the overall safety of staff who operate those systems.</p> <p>As such all point of sale systems where cash is receipted should be protected by CCTV cameras and duress alarms.</p> <p>During our review we were unable to physically visit the Library and the Aquatic Centre in order to sight the existence of these security features due to the closure of these sites as part of the COVID 19 social distancing restrictions nor were we able to determine whether these devices, if fitted, were operational.</p>	<p><b>Risk:</b> <span style="border: 1px solid green; padding: 2px;">Low</span></p> <ul style="list-style-type: none"> <li>Inactive or non-existent CCTV and duress alarms could put Town staff at risk.</li> </ul>	<p>We recommend that</p> <ul style="list-style-type: none"> <li>the Town ensure that wherever cash is being receipted that there exists a working CCTV camera and duress alarms in place.</li> </ul>	<p><b>Responsibility:</b> Director Corporate &amp; Compliance</p> <p><b>Management Comments:</b></p> <p>Agree. Risks to be considered by the Town as against cost implications.</p>



## Regulation 17 Review

## Town of Claremont

Audited Area: Internal Control

Audited Activity: General

Finding	Implication	Recommendation	Management Comments
<b>14.0. Need to Update the Town Policy Manual</b>  The policy manual does not provide appropriate policy guidance in regards to the following key processes: <ul style="list-style-type: none"> <li>○ Complaints Management</li> <li>○ Risk Management</li> <li>○ Cash Receipting and Banking</li> <li>○ Legislative Compliance</li> </ul> The Town does have in place a Customer Experience Charter.	<b>Risk:</b> <span style="border: 1px solid green; padding: 2px;">Low</span>  <ul style="list-style-type: none"> <li>• Inappropriate guidelines for staff to follow.</li> </ul>	We recommend that <ul style="list-style-type: none"> <li>• the Town, via the Governance unit review the Town's Policy Manual to include the following processes and any other policies that have been identified as part of this review report that need to be included in the Town's Policy Manual.               <ul style="list-style-type: none"> <li>○ Complaints Management</li> <li>○ Risk Management</li> <li>○ Cash Receipting and Banking</li> <li>○ Legislative Compliance</li> </ul> </li> </ul>	<b>Responsibility:</b> Director Governance & People  <b>Management Comments:</b> Agree. Review of Policy Manual is in progress

## Regulation 17 Review

## Town of Claremont

## Audited Area: Legislative Compliance

## Audited Activity: Compliance

Finding	Implication	Recommendation	Management Comments
<p><b>15.0. Need to Develop a Legislative Compliance Checklist</b></p> <p>The Town's current legislative compliance program could be improved. The Town currently relies on the annual Compliance Audit Return (CAR) and the Comprehensive Compliance Register to identify and monitor compliance.</p> <p>Although the (CAR) and the Comprehensive Compliance Register are appropriate to assess legislative compliance, it does not cater for all the legislative areas that require compliance under the Local Government Act 1995, the Local Government (Functions &amp; General) Regulations 1996 and the Local Government (Audit) Regulations 1996.</p>	<p><b>Risk:</b> <span style="border: 1px solid black; padding: 2px;">Medium</span></p> <ul style="list-style-type: none"> <li>The Town may not be complying with legislative compliance without formal detection.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>the Governance unit give consideration to develop various legislative compliance program checklists which can be distributed to the applicable operational areas for them to undertake a self-compliance assessment, say on an annual basis of their compliance level.</li> <li>Once completed the legislative compliance program compliance checklists should be signed-off by the relevant operational Managers and their Director as evidence that they have undertaken the compliance checks and that any non-compliance matters have been actioned and returned to the governance area.</li> </ul>	<p><b>Responsibility:</b> Director Governance &amp; People</p> <p><b>Management Comments:</b> To be considered further</p>

## Audit and Risk Management Committee Meeting Minutes

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## Regulation 17 Review

## Town of Claremont

Audited Area: Legislative Compliance

Audited Activity: Audit Function

Finding	Implication	Recommendation	Management Comments
<p><b>16.0. Need to Establish an Internal Audit Activity for the Town</b></p> <p>The Town does not have in place a dedicated Internal Audit Activity which is able to undertake routine risk management, internal control and legislative compliance audits. Such an activity, should it be established, would be responsible for reporting their findings and recommendations directly to the Audit and Risk Management Committee assisting the Audit and Risk Management Committee in meeting their governance responsibilities. Although The town's annual financial statements auditors do undertake control assessments, these relate mainly to finance related processes and are limited only in relation to such processes impacting on the accuracy of the reported financial statement figures. The Internal Audit Activity can be established either as an inhouse function or outsourced to a reputable accounting/audit firms who specialise in providing Internal Audit services.</p>	<p><b>Risk:</b> <span style="border: 1px solid black; padding: 2px;">Medium</span></p> <ul style="list-style-type: none"> <li>In the absence of an effective Internal Audit Activity, the Town is unable to obtain assurance that management controls continue to operate satisfactorily, the Town's policies continue to be effective and complied with and that the Town's risks are being properly identified and managed.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>The Town CEO, through the Governance unit and the Audit and Risk Management Committee give consideration to the establishment of an Internal Audit Activity for the Town.</li> <li>Consideration be given to establishing a 3 year internal audit program, endorsed by the Audit and Risk Management Committee, made up of potential audits to be carried out based on the Town's identified strategic and operational risks.</li> </ul>	<p><b>Responsibility:</b> CEO, Director Governance &amp; People and Audit and Risk Management Committee</p> <p><b>Management Comments:</b> To be considered further</p>

## Regulation 17 Review

Town of Claremont

**Appendix A – Risk Criteria Matrix**

The following risk criteria were used to assess level of risk on findings included in the Review Report.

**Risk Assessment Matrix****Likelihood of Risk:**

Rating	Description	Frequency
1	<b>Rare</b> – May occur, only in exceptional circumstances	< once in 15 years
2	<b>Unlikely</b> – Could occur at some time	At least once in 10 years
3	<b>Possible</b> – Should occur at some time	At least once in 3 years
4	<b>Likely</b> – Will probably occur in most circumstances	At least once per year
5	<b>Almost Certain</b> – Expected to occur in most circumstances	> once per year

**Consequence of Risk:**

Description	Health	Financial Loss	Operation	Compliance	Reputation	Project
1. Insignificant	No injuries or illness	<\$50,000	Little Impact	Minor breach of policy, or process requiring approval or variance	Unsubstantiated, low impact, low profile or no news item	Small variation to cost, timeliness, scope or quality of objectives and required outcomes.
2. Minor	First Aid treatment	\$50,000 to \$250,000	Inconvenient Delays	Breach of policy, process or legislation requiring attention of minimal damage control	Substantiated, low impact, low news profile.	5-10% increase in time or cost or variation to scope objective requiring approval
3. Moderate	Medical treatment required	\$250,000 to \$1 million	Significant delays to major deliverables	Breach requiring internal investigation, treatment or moderate damage control	Substantiated, public embarrassment, moderate impact, moderate news profile.	10-20% increase in time or cost or variation to scope objective requiring Senior Management approval
4. Significant	Death or extensive injuries	\$1 million to \$3 million	Non achievement of major deliverables	Breach resulting in external investigation or third party actions resulting in tangible loss and damage to reputation	Substantiated, public embarrassment, moderate impact, high news profile and 3 <sup>rd</sup> party actions.	20-50% increase in time or cost or significant variation to scope objective requiring restructure of project and Senior Management or Council approval
5. Severe	Multiple deaths or sever permanent disabilities	>\$3 million	Non achievement of major deliverables	Breach resulting in external investigation or third party actions resulting in significant tangible loss and damage to reputation	Substantiated, public embarrassment, very high multiple impacts, high widespread multiple news profile, 3 <sup>rd</sup> party actions.	>50% increase in time or cost or inability to meet project objectives requiring the project to be abandoned or redeveloped

**Risk Exposure:**

Risk = Likelihood x Consequence

Score	Level of Risk	Score	Level of Risk	Score	Level of Risk
1 - 8	<b>Low</b>	9 - 19	<b>Medium</b>	20 - 25	<b>High</b>

	<b>LG540</b> <b>COMPLAINTS MANAGEMENT</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> Nil

#### Purpose

The purpose of this policy is:

1. Demonstrate the Town of Claremont's (Town) commitment to receiving, acknowledging and resolving complaints in order to improve service provision.
2. To develop a structured and systematic approach to dealing with complaints.
3. To provide guidance and set out expectations in relation to the Town's complaints management approach.

#### Definition

Complaint means an expression of dissatisfaction with the Town, a level of service, a lack of promised service or response, or the conduct of an person employed by or representing the Town, which is not anonymous, made to the Town through its Elected Members, Chief Executive Officer or any of its employees in writing or verbal, where a response or resolution is explicitly or implicitly expected.

#### Policy

The Town Code of Conduct and Customer Experience Charter detail expectations in relation to employee behavior and levels of service.

The Town will support and promote a culture where complaints are seen as opportunities to learn and improve service delivery.

The Town's approach to managing complaints will be as follows:

- Complaints will remain confidential wherever possible and respectful of a person's privacy.
- Complaints are to be processed within the time frames specified in the Customer Experience Charter.
- Focused on the complainant with visible and accessible contact points provided for complaints.
- Accountable and transparent.

- Responsive and empathetic.
- Objective, fair and neutral.
- Outcome focused and ensure the complainant is involved in the process.
- Free of reprisals against any person involved in the complaint management process.
- The complainant will be kept aware of the progress of a complaint throughout the complaints process; where a complaint has come via an Elected Member, the Town will ensure that the Elected Member is made aware of the progress or outcome of the complaint.
- All correspondence relating to a complaint will be recorded within the Town's records management system.

The Town may refuse to investigate a complaint or may respond to the complainant outside of the Customer Experience Charter timeframes:

- If in the opinion of the Chief Executive Officer a complaint is trivial, frivolous and/or vexatious.
- The complainant is abusive, aggressive, rude, angry, harassing and/or hostile.

The substance of a complaint will dictate the resources allocated by the Town to the complaint.

The Town may determine to take one of the following courses of action:

- Take no further action and advise the complainant of the reason/s.
- Resolve the complaint by use of appropriate strategies such as, but not limited to, mediation, informal discussion or negotiation.
- Discontinue the assessment in circumstances where it becomes evident that the matter should be referred to another body or person and advise the complainant accordingly.

If a complainant is not satisfied with the way that the Town has handled their initial complaint then they may apply for an internal review of the complaint. The reviewing officer will be senior to the initial officer and will reconsider the decision reached, taking all relevant matters into account.

#### Legislation

Nil

#### Relevant Procedures, Policies and Other Documents

Code of Conduct  
Customer Experience Charter  
Online Complaint Form

#### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		

	<b>LG534</b> <b>RISK MANAGEMENT</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Governance and People  <b>Relevant Council Delegation</b> Nil

### Purpose

The purpose of this policy is to articulate the Town of Claremont's (**the Town**) commitment to:

1. Identifying and responding to potential risks so that impacts can be minimised and opportunities realised.
2. Ensuring that the Town achieves its strategic and corporate objectives efficiently, effectively whilst following and upholding good corporate governance principles.

### Definitions

Risk is defined as the "effect of uncertainty on objectives".

Risk Management is defined as "co-ordinated activities to direct and control an organisation with regard to risk".

Integrated Risk Management Framework is defined as "set of components that provide the foundations and organisational arrangements for designing, implementing, reviewing and continually improving risk management throughout the organisation".

### Policy

The Town will implement a coordinated approach to managing risks by:

- Implementing an integrated risk management framework based on the AS/NZ ISO 31000.
- Ensuring risk management functions are resourced appropriately to meet the size and scale of the Town's operations.
- Ensuring the Town's strategic and operational planning activities are aligned with the Integrated risk management framework.
- Embedding risk management activities across the Town's operations.
- Requiring all identified risks to be assessed according to the Town's integrated risk management framework to ensure consistency and informed decision making. Where operational requirements



require alternative risk assessment criteria these cannot exceed the Town's risk aptitude and are to be noted within the individual risk assessment.

- Encouraging and supporting a culture of risk based decision making directed towards the effective management of potential opportunities and reduction of potential impacts of risk.
- Implementing regular risk review and periodic reporting to the CEO and Audit and Risk Management Committee.

#### Legislation

*Local Government (Audit) Regulations 1996*

#### Relevant Procedures, Policies and Other Documents

AS/NZS ISO 31000:2018 Risk Management – Guidelines  
Integrated Risk Management Framework (Internal)  
Integrated Risk Register (Internal)

#### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		



	<b>LG539</b> <b>LEGISLATIVE COMPLIANCE</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Governance and People  <b>Council Delegation</b> Nil

### Purpose

The purpose of this policy is to outline the Town of Claremont's (the **Town**):

1. Commitment to complying with all legislative requirements contained within the *Local Government Act 1995*, corresponding Local Government Regulations and other legislation applicable to all areas of its operations.
2. Support for the development of systems and processes to assist with legislative compliance and the creation of a compliance culture.

### Policy

The Town will strive for legislative compliance by:

- Providing sufficient resources relative to the size and scale of the Town's operations.
- Ensuring at least an annual review of the compliance management calendar to ensure the key legislative provisions are current.
- Periodic refining of the compliance management calendar to ensure it accurately records the employee or business unit who is responsible for compliance and the measures undertaken to achieve compliance.
- Integration of compliance requirements into day-to-day operations.
- Encouraging and support a culture of compliance and continuous improvement.
- Provide induction and ongoing education and training to ensure employees understand their compliance obligations.
- Providing employees with the resources, training and development programs to identify and remain up to date with new legislation.
- Periodic internal auditing of compliance activities.
- Regular reporting on key compliance obligations and compliance activities to management team, executive team, committees and Council.
- Establish a mechanism for reporting non-compliance.
- Creating and improving processes to detect non-compliance.
- Identifying and where possible remedying instances of non-compliance.
- Review instances of non-compliance to assess how the systems of compliance can be improved.

**Legislation**

Local Government Act 1995 and all associated Regulations  
Various legislation

**Relevant Procedures, Policies and Other Documents**

Compliance Management Calendar  
Code of Conduct  
Australian Standard AS 19600-2015: Compliance Management Systems- Guidelines  
Risk Management Policy  
Integrated Risk Management Framework

**Policy Adoption and Amendment History**

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		

	<b>LG536</b> <b>PUBLIC INTEREST DISCLOSURE</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Governance and People  <b>Council Delegation</b> Nil

### Purpose

The purpose of this policy is to demonstrate the Town of Claremont's (**the Town**) commitment to developing, implementing and maintaining a governance program for public interest disclosures (**PIDs**).

### Policy

The Town is committed to the aims and objectives of the *Public Interest Disclosure Act 2003* and will:

- Ensure it has at least one designated PID Officer who is qualified to or will be provided training to undertake that role.
- Assist those making disclosures to understand their rights and responsibilities and the available protection under the *Public Interest Disclosure Act 2003*.
- Cultivate a culture that does not tolerate corruption or other improper conduct.
- Encouraging Elected Members and employees to disclose information about suspected wrongdoing through awareness and training initiatives.

### Legislation

*Public Sector Management Act 1994*

*Public Interest Disclosure Act 2003*

*Corruption and Crime Commission Amendment (Misconduct) Act 2014*

### Relevant Procedures, Policies and Other Documents

Code of Conduct

Public Interest Disclosure Lodgement Form

Integrated Risk Management Framework (Internal)

Governance Framework

LG534 Strategic and Operational Risk Register

LG538 Fraud Prevention Policy

**Policy Adoption and Amendment History**

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		

	<b>LG538</b> <b>FRAUD PREVENTION</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Governance and People  <b>Council Delegation</b> Nil

### Purpose

The purpose of this policy is to articulate the Town of Claremont's (**the Town**):

1. Commitment to integrity and zero tolerance of fraud, corruption and bribery in all forms.
2. Support for the development of systems and processes to obstruct fraudulent activities, ensure adequate oversight, separation of duties, detection, identification and reporting of breaches.
3. Requirement that all Elected Members, committee members and employees are accountable and behave with integrity, ethically and honestly when performing their duties and during their interactions with stakeholders.

### Policy

To support this vision the Town will implement a coordinated approach to manage risks of fraud by:

- Assessing fraud risks across its business.
- Support the development of systems and processes to obstruct fraudulent activities, ensure adequate oversight, separation of duties, detection, identification and reporting of breaches.
- Developing a Fraud and Corruption Control Plan and reviewing it at least every 2 years.
- Developing and implementing a periodic fraud awareness and prevent training program for employees and Elected Members.
- Ensuring that all conflicts of interest and financial interests are disclosed, recorded and assessed.
- Creating a strong ethical culture that sets the standard of behaviour, including the identification of fraud risks and reporting mechanisms and obligations to act accordingly.
- Ensuring clear internal processes and systems to report any potential fraud, including anonymous reporting.
- Investigating all identified or suspected fraudulent or corrupt conduct.
- Ensuring appropriate reporting, disciplinary action, prosecution and recovery actions are initiated by the Town.
- Collecting and analysing information received about potential fraud to identify any trends or emerging issues.
- Maintaining policies and procedures to verify the identity and integrity of employees, contractors and suppliers.

This policy, in conjunction with the Code of Conduct, the Integrated Risk Management Framework and the Public Interest Disclosure policy aligns with the Town's corporate culture and values to prevent, detect and respond to potential or actual fraud and misconduct and minimise risks to the Town, its people and its assets.

### Legislation

*Local Government Act 1995*  
*Local Government (Rules of Conduct) Regulations 2007*  
*Local Government (Financial Management) Regulations 1996*  
*Local Government (Audit) Regulations 2007*  
*Local Government (Administration) Regulations 2007*  
*Local Government (Functions and General) Regulations 1996*

### Relevant Procedures, Policies and Other Documents

Code of Conduct  
Integrated Risk Management Framework  
LG536 Public Interest Disclosure Policy  
Gifts and Entertainment Policy  
LG509 Purchasing Policy  
LG512 Corporate Purchasing Cards

Human Resources recruitment and selection guidelines

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		

	<b>LG512</b> <b>Corporate Purchasing Cards</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> Nil

#### Purpose

~~The purpose of the policy is to provide guidance on the issue and control of the use of the Corporate Purchasing Cards to for employees of the Town of Claremont ((the Town).~~

#### Policy

In respect to the issue and use of Corporate Purchasing Cards:

- Council has authorised the responsibility of the issue of Corporate Purchasing Cards to the Chief Executive Officer (CEO).
- The CEO can authorise the issue of cards to Directors and other officers as required.
- Purchasing limits in respect to these Corporate Purchasing Cards will be determined by the CEO. A monthly ~~spend per~~ card limit and an individual transaction limit will be determined for each card holder.
- Corporate Purchasing Cards are to be used only for business related expenditure.
- The use of Corporate Purchasing Cards~~the cards~~ does not negate the requirement to comply with the Town's purchasing policy.
- Custodians of Corporate Purchasing cards are entirely responsible for the use of that e-card, including authorised delegates. No other officer may use the card.
- Cardholders cannot incur and certify their own expenditure when arranging payment of the monthly invoice to the card supplier.  
~~———— The CEO and Directors are authorised to use their respective his card for the purpose of business entertainment.~~
- Cardholders must not obtain personal benefit from the use of the cards, including receipt of frequent flyer points or other reward schemes.
- The CEO is to establish procedures for the use of Corporate Purchasing Cards to ensure adequate control is exercised over their use and that expenditure incurred on such cards is included in the monthly schedule of accounts for payment to be reviewed by Council.

#### Legislation

*Local Government Act 1995, s. 6.5(a) and s 2.7(2)(a)*

*Local Governance (Financial Management) Regulations 1996 s.11(1)(a)*

#### Relevant Procedures, Policies and Other Documents

Corporate Purchasing Cards Procedure.

#### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted	19/02/2013	28/13
Reviewed	10/12/2013	360/13
Reviewed	09/12/2014	203/14
Reviewed	15/12/2015	226/15
Reviewed	13/12/2016	206/16
Reviewed	18/12/2018	228/18
Reviewed		





	<b>LG509 PURCHASING</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> Nil

### Purpose

The purpose of this policy is to demonstrate the Town of Claremont's (**the Town**) commitment to ensuring that all purchasing activities:

1. Achieve best value for money.
2. Are compliant with all relevant legislation and regulatory obligations.
3. Mitigate probity risk, by establishing consistent and demonstrated processes that promote transparency and fairness.

### Definitions

Act means the *Local Government Act 1995*.

Purchase Value Threshold means the actual or expected value of a contract over the full contract period, including any options.

Pre-qualified panel of suppliers includes a supplier approved through the WALGA preferred supply program or State Government CUA.

Regulations means the *Local Government (Functions and General) Regulations 1996*.

RFT means Request for Tender.

RFQ means Request for Quotation.

WALGA means Western Australian Local Government Association.

### Policy

The Town is committed to delivering best practice in purchasing activities that aligns with the principles of transparency, probity and good governance. The following principles must be observed through all stages of purchasing:

- All purchasing practices shall comply with all relevant legislation.

- All Town's Policies and the Code of Conduct must be followed.
- Purchasing is to be carried out to deliver the most advantageous outcome for the Town.
- Purchasing is to be carried out in accordance with approved budget provisions.
- All processes, evaluations and decisions shall be transparent, free from bias, merit based and fully documented in accordance with applicable policies, practices and procedures, and audit requirements.
- All employees of the Town must act in an honest and professional manner at all times which supports the standing of the Town. Full accountability shall be taken by employees for all purchasing decisions.
- Any actual or perceived conflicts of interest are to be identified, disclosed and appropriately managed.
- With respect to RFQ and RFTs all employees are expected to demonstrate due diligence in seeking quotations. The number of quotations obtained, the contract conditions and level of evaluation required should be determined by having regard to the type and nature of the purchase and the associated risk, and not purely the purchase value as set out in the purchasing threshold table.
- Employees must only undertake purchasing activities within their authorised limit.

#### Purchasing Thresholds and Practices

The table below prescribes the minimum purchasing process that must be followed:

Purchase Value Threshold (excluding GST)	Purchasing Requirements
\$1,000 to \$5,000	Obtain at least <b>two (2)</b> oral or written quotation.
Over \$5,000 and up to \$15,000	Obtain at least <b>two (2)</b> oral or written quotations from suppliers following issue of a brief outlining the specified requirement.
Over \$15,000 and up to \$50,000	Obtain at least <b>three (3)</b> written quotations from suppliers following issue of a brief outlining the specified requirement.
Over \$50,000 and up to \$250,000	A formal RFQ process must be followed in accordance with the Act and the Regulations.  At least <b>three (3)</b> written quotations must be obtained.  RFQ from a pre-qualified suppliers are not required to be invited using a RFQ , however at least three (3) written quotes are still required to be obtained.
Over \$250,000	A formal RFT process must be followed in accordance with the Act and the Regulations subject to the exceptions in Regulation 11(2) and as set out within this policy.

**Purchasing exemptions under \$250,000**

The following exemptions where the Town is not required to undertake a competitive purchasing process and where the total value of the purchase does not exceed \$250,000 include:

- Emergency Purchases.
- Purchases where there is a sole source of supply.
- Services of WALGA and LGIS.
- Services of government entities including, but not limited to Federal, State, Local government entities, and Government Trading Enterprises (GTE's).
- Newspaper advertising (or online equivalent).
- Advance / Prior Payment of Services (for example: accommodation, travel services, entertainment, conferences, seminars, Memberships, Subscriptions, training courses).
- Annual Services / Software maintenance / Support Fees.
- Fuels and Oils.
- Provision of utility services.
- Reimbursements.
- Purchases for maintenance of equipment from Original Equipment Manufacturer (OEMs) and where warranty provisions may be void.
- Purchases of urgent or unique nature or where exceptional circumstances arise and it is considered in the best interest of the Town, an exemption may be granted by the CEO. When exercised Council is to be advised.

**Emergency Purchases**

An emergency purchase is defined as an unanticipated and unbudgeted purchase which is required in response to an emergency situation as provided for in the Act. An emergency purchase does not relate to purchases not planned due to time constraints.

**Sole Source of Supply**

Where the purchasing requirement is over the value of \$5,000 and of such a unique nature that it can only be supplied from one supplier, the purchase is permitted without the requirement to obtain quotes, undertake a tender or quotation process. This is only permitted in circumstances where the Town is satisfied and can provide evidence that there is only one source of supply for those goods, services or works. The Town must use its best endeavours to determine if the sole source of supply is genuine by exploring if there are any alternative sources of supply. Once determined, the justification for the Sole Source of Supply must be endorsed by the relevant Director, prior to a contract being entered into.

**Panels of Pre-qualified Suppliers**

The Town may consider creating a Panel of Pre-qualified Suppliers ("Panel") when a range of similar goods and services are required to be purchased on a continuing and regular basis and it is advantageous to use multiple suppliers. Should the Town determine that a Panel is beneficial to be created, it must do so in accordance with Part 4, Division 3 of the Regulations.

**Expressions of Interest**

Expressions of Interest (EOI) may be considered in situations where the project is of a significant value or contains significant complexity of project delivery that may solicit responses from a considerable range of industry providers. In these cases, the Town may conduct an EOI process, preliminary to any request for Tender process, where the procurement requirement is:

- Unable to be sufficiently scoped or specified;
- Open to multiple options for how the purchasing requirement may be obtained, specified, created or delivered;
- Subject to a creative element; or
- To establish a procurement methodology that allows for an assessment of a significant number of tenderers leading to a shortlisting process based on non-price assessment criteria.

EOI processes are to be conducted in line with Part 4, Division 2 of the Regulations.

**Purchasing Principles****Value for Money**

'Value for Money' is determined when the consideration of price, risk, timeliness, environmental, social and qualitative factors are assessed to determine the most advantageous outcome to be achieved for the Town.

The Town will apply value for money principles when assessing purchasing decisions and acknowledges the lowest price may not always be the most advantageous. Other factors including qualitative and risk criteria will also be given consideration into the decision.

An assessment of the best value for money outcome for any purchasing process should consider:

- All relevant Total Costs of Ownership ('TCO') and benefits including transactional costs associated with acquisition, delivery, distribution, as well as other costs such as but not limited to holding costs, consumables, deployment, maintenance and disposal.
- The technical merits of the goods or services being offered.
- Financial viability and capacity to supply without risk of default.
- A strong element of competition in the allocation of orders or the awarding of contracts.
- The safety requirements associated with both the product design and specification offered by suppliers and the evaluation of risk when considering purchasing goods and services from suppliers.

**Sustainable Procurement and Corporate Social Responsibility**

Where appropriate, the Town shall endeavour to provide an advantage to suppliers demonstrating that they minimise environmental and negative social impacts and embrace sustainable business practices and Corporate Social Responsibility. These considerations must be balanced against value for money outcomes.

**Anti-Avoidance**

The Town or its employees shall not, at any stage, seek to enter into two or more contracts or create

multiple purchase order transactions of a similar nature for the purpose of "splitting" the value of the purchase or contract in order to reduce the value of the consideration of the purchase below a particular purchasing threshold.

#### **Local Economic Benefit**

Under the State Government's Buy Local Policy, Government Agencies and Local Governments, including the Town, are encouraged to maximise participation of local and small businesses in the supply of goods, services and works. As much as practicable, the Town will:

- Where appropriate, consider buying practices, procedures and specifications that do not unfairly disadvantage local businesses.
- Consider indirect benefits that have flow on benefits for local suppliers (i.e. servicing and support).
- Ensure that procurement plans address local business capability and local content.
- Explore the capability of local businesses to meet requirements and ensure that Requests for Quotation and Tenders are designed to accommodate the capabilities of local businesses.
- Avoid bias in the design and specifications for Requests for Quotation and Tenders – all Requests must be structured to encourage local businesses to bid.
- Provide adequate and consistent information to potential suppliers.

#### **Legislation**

*Local Government Act 1995*

*Local Government (Functions and General) Regulations 1996*

*State Records Act 2000 (WA)*

#### **Relevant Procedures, Policies and Other Documents**

Purchasing Practice Guide

#### **Policy Adoption and Amendment History**

<b>Adopted/Reviewed/ Modified</b>	<b>Date of Meeting</b>	<b>Council Meeting Resolution Number</b>
Adopted	862/99	26/10/1999
Reviewed	536/03	16/12/2003
Reviewed	202/07	17/07/2007
Modified	210/10	05/10/2010
Modified	23/12	06/03/2012
Reviewed	360/13	10/12/2013
Reviewed	203/14	09/12/2014
Reviewed	226/15	15/12/2015
Modified	121/16	02/08/2016
Reviewed	206/16	13/12/2016
Modified	228/18	18/12/2018
Reviewed		

	<b>LG509</b> <b>PURCHASING</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> Nil

#### Purpose

The ~~objectives purpose~~ of this policy ~~are-is~~ to ~~demonstrate the Town of Claremont's (the Town)~~ ~~commitment to ensure~~ that all purchasing activities:

1. ~~Achieve~~ demonstrate that best value for money is attained for the Town.
2. ~~Are~~ compliant with ~~all~~ relevant ~~legislation and regulatory obligations~~, including the Act and Regulations
3. ~~are recorded in compliance with the State Records Act 2000 and associated records management practices and procedures of the Town~~
- 4.3. Mitigate probity risk, by establishing consistent and demonstrated ~~administrative~~ processes that promote ~~openness, transparency and~~ fairness, and equity to all potential suppliers

#### Definitions

Act means the Local Government Act 1995.

Purchase Value Threshold means the actual or expected value of a contract over the full contract period, including any options.

Pre-qualified panel of suppliers includes a supplier approved through the WALGA preferred supply program or State Government CUA.

Regulations means the Local Government (Functions and General) Regulations 1996.

RFT means Request for Tender.

RFQ means Request for Quotation.

WALGA means Western Australian Local Government Association.

#### Policy



The Town is committed to delivering best practice in the purchasing of goods, services and works activities that aligns with the principles of transparency, probity and good governance, and compliance with the following principles, standards and behaviours must be observed and enforced through all stages of the purchasing process to ensure the fair and equitable treatment of all parties:

- All purchasing practices shall comply with all relevant legislation, regulations, and requirements
  - consistent with All Town's Policies and the Code of Conduct must be followed.
  - Purchasing is to be undertaken on a competitive basis where all potential suppliers are treated impartially, honestly and consistently.
  - Purchasing is to be carried out to deliver the most advantageous outcome for the Town.
  - Purchasing is to be carried out in accordance with approved budget provisions.
  - All processes, evaluations and decisions shall be transparent, free from bias, merit based and fully documented in accordance with applicable policies, practices and procedures, and audit requirements.
  - All Elected members and employees of the Town must act in an honest and professional manner at all times which supports the standing of the Town. Full accountability shall be taken by Elected Members and employees for all purchasing decisions, and the efficient, effective and proper expenditure of public monies based on achieving value for money.
  - Any actual or perceived conflicts of interest are to be identified, disclosed and appropriately managed.
  - With respect to RFQ and RFTs all employees are expected to demonstrate due diligence in seeking quotations. The number of quotations obtained, the contract conditions and level of evaluation required should be determined by having regard to the type and nature of the purchase and the associated risk, and not purely the purchase value as set out in the purchasing threshold table.
  - Employees must only undertake purchasing activities within their authorised limit, any information provided to the Town's by a supplier shall be treated as commercial in confidence and should not be released unless authorised by the supplier or relevant legislation.
- Procurement processes and practices to be complied with are defined within this Policy and the Town's prescribed procurement procedures.

#### Ethics and Integrity

##### Code of Conduct

All officers and employees of the Town undertaking purchasing activities must have regard for the Town Code of Conduct and its requirements and shall observe the highest standards of ethics and integrity.

#### Purchasing Thresholds and Practices

The table below prescribes the minimum purchasing process that the Town must be followed:

Purchase Value Threshold (excluding GST)	Purchasing Requirements
Up to \$1,000	Obtain at least one (1) oral or written quotation from a suitable supplier, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government Common Use Arrangement (CUA); or the open market.
Over \$1,000 and \$1,000 up to \$5,000	Obtain at least two oral or written quotation from a suitable supplier, either from a pre-qualified supplier on the WALGA Preferred Supply

	<p>Program or State Government CUA; or the open market.</p> <p>Obtain at least <del>two (2)</del> <b>(2)</b> oral or written quotation, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government Common Use Arrangement (CUA).</p> <p>OR</p> <p>Obtain at least two oral or written quotations from a suitable supplier from the open market.</p>
Over \$5,000 and up to \$15,000	Obtain at least <del>three (3)</del> <b>(2)</b> oral or written quotations from suppliers following <del>issue of</del> a brief outlining the specified requirement, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA, or the open market.
Over \$15,000 and up to \$50,000	Obtain at least <b>three (3)</b> written quotations from suppliers following <del>issue of</del> a brief outlining the specified requirement, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA, or the open market.
Over \$50,000 and up to \$250,000	<p>A formal RFQ process must be followed in accordance with the Act and the Regulations.</p> <p><del>Obtain at least three (3) written quotations must be obtained.</del></p> <p>from suppliers by formal invitation under a Request for Quotation, following <del>issue of</del> a Request for Quotation outlining the specified goods or services required, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA, or the open market, following completion of public advertising.</p> <p>Submissions received are to contain containing price and detailed response to the specification of goods and services as required. The procurement decision is to be based on pre-determined evaluation criteria that assesses all value for money considerations in accordance with the definition stated within this Policy.</p> <p>Quotations within this threshold may be obtained from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA, or from the open market.</p> <p>RFQ Requests for quotation from a pre-qualified panel of suppliers (whether administered through the WALGA preferred supply program or State Government CUA) are not required to be invited using a RFQ request for quotation form, however, at least three (3) written quotes are still required to be obtained.</p>

Over \$150,000	Where the purchasing requirement is not tender-exempt arrangement as listed under section 5.7 of this Policy, or any other relevant legislation, the Town is to conduct a public Request for Tender process in accordance with Part 4 of the Local Government (Functions and General) Regulations 1996, this Policy and the Town's relevant tender procedures. The procurement decision arising from this Request for Tender is to be based on pre-determined evaluation criteria that assesses all value for money considerations in accordance with the definitions as stated within this Policy.
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Over \$250,000	A formal RFT process must be followed in accordance with the Act and the Regulations subject to the exceptions in Regulation 11(2) and as set out within this policy. Where the purchasing requirement is not tender-exempt arrangement as listed under section 5.7 of this Policy, or any other relevant legislation, the Town is to conduct a public Request for Tender process in accordance with Part 4 of the Local Government (Functions and General) Regulations 1996, this Policy and the Town's relevant tender procedures. The procurement decision arising from this Request for Tender is to be based on pre-determined evaluation criteria that assesses all value for money considerations in accordance with the definitions as stated within this Policy.
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**Purchasing exemptions under \$250,000**

The following exemptions where the Town is not required to undertake a competitive purchasing process and where the total value of the purchase does not exceed \$250,000 include:

- Emergency Purchases;
- Purchases where there is a sole source of supply;
- Services of WALGA and LGIS;
- Services of government entities including, but not limited to Federal, State, Local government entities, and Government Trading Enterprises (GTE's);
- Newspaper advertising (or online equivalent);
- Advance / Prior Payment of Services (for example: accommodation, travel services, entertainment, conferences, seminars, Memberships, Subscriptions, training courses);
- Annual Services / Software maintenance / Support Fees;
- Fuels and Oils;
- Provision of utility services;
- Reimbursements.

- Purchases for maintenance of equipment from Original Equipment Manufacturer (OEMs) and where warranty provisions may be void;
- Purchases of urgent or unique nature or where exceptional circumstances arise and it is considered in the best interest of the Town, an exemption may be granted by the CEO. When exercised Council is to be advised.

#### Emergency Purchases

An emergency purchase is defined as an unanticipated and unbudgeted purchase which is required in response to an emergency situation as provided for in the Act. ~~in such instances, quotes and tenders are not required to be obtained prior to the purchase being undertaken.~~

An emergency purchase does not relate to purchases not planned due to time constraints. ~~Every effort must be made to anticipate purchases required by the Town in advance and to allow sufficient time to obtain quotes and tenders, whichever may apply.~~

#### Sole Source of Supply

Where the purchasing requirement is over the value of \$5,000 and of such a unique nature that it can only be supplied from one supplier, the purchase is permitted without the requirement to obtain quotes, undertake a tender or quotation process. This is only permitted in circumstances where the Town is satisfied and can provide evidence that there is only one source of supply for those goods, services or works. The Town must use its best endeavours to determine if the sole source of supply is genuine by exploring if there are any alternative sources of supply. Once determined, the justification for the Sole Source of Supply must be endorsed by the relevant Director, prior to a contract being entered into.

#### 2.4 Preferred Supplier

~~The status of preferred suppliers will be subject to a non-exclusive Supply Agreement with a supplier who has demonstrated an ability to satisfy the Town's requirements, provides best value for money and appointment by the Town would be in the best interest of the Town. All Supply Agreements of \$20,000 or less per annum shall be approved by the relevant Director in accordance with their authorisation limit. Agreement greater than \$20,000 per annum must be approved in writing by the Chief Executive Officer.~~

#### Panels of Pre-qualified Suppliers

The Town may consider creating a Panel of Pre-qualified Suppliers ("Panel") when a range of similar goods and services are required to be purchased on a continuing and regular basis and it is advantageous to use multiple suppliers. Should the Town determine that a Panel is beneficial to be created, it must do so in accordance with Part 4, Division 3 of the Regulations.

#### Expressions of Interest

Expressions of Interest (EOI) may be considered in situations where the project is of a significant value or contains significant complexity of project delivery that may solicit responses from a considerable range of industry providers. In these cases, the Town may conduct an EOI process, preliminary to any request for Tender process, where the procurement requirement is:

- Unable to be sufficiently scoped or specified;

- Open to multiple options for how the purchasing requirement may be obtained, specified, created or delivered;
- Subject to a creative element; or
- To establish a procurement methodology that allows for an assessment of a significant number of tenderers leading to a shortlisting process based on non-price assessment criteria.

EOI processes are to be conducted in line with Part 4, Division 2 of the Regulations.

#### Purchasing Principles

##### Value for Money

###### 1.2 Policy

'Value for Money' is determined when the consideration of price, risk, timeliness, environmental, social and qualitative factors that are assessed to determine the most advantageous outcome to be achieved for the Town.

The Town will apply value for money principles when assessing purchasing decisions and acknowledges the lowest price may not always be the most advantageous. Other factors including qualitative and risk criteria will also be given consideration into the decision. As such, purchasing decisions must be made with greater consideration than simply obtaining the lowest price, but must also to incorporate also incorporate qualitative and risk factors into the decision.

###### 1.2 1.3 Application

An assessment of the best value for money outcome for any purchasing process should consider:

- All relevant Total Costs of Ownership ('TCO') and benefits including transactional costs associated with acquisition, delivery, distribution, as well as other costs such as but not limited to holding costs, consumables, deployment, maintenance and disposal.
  - The technical merits of the goods or services being offered, in terms of compliance with specifications, contractual terms and conditions and any relevant methods of assuring quality, including but not limited to an assessment of levels and currency of compliance, value adds offered, warranties, guarantees, repair and replacement policies, ease of inspection, ease of after sales service, ease of communications etc.
  - Financial viability and capacity to supply without risk of default, (competency of the prospective suppliers in terms of managerial and technical capabilities and compliance history)
  - A strong element of competition in the allocation of orders or the awarding of contracts. This is achieved by obtaining a sufficient number of competitive quotations wherever practicable
  - The safety requirements associated with both the product design and specification offered by suppliers and the evaluation of risk when considering purchasing goods and services from suppliers.
2. purchasing of goods and services from suppliers that demonstrate sustainable benefits and good corporate social responsibility, and  
providing opportunities for businesses within the Town's boundaries to be given the opportunity to quote for providing goods and services wherever possible.

##### Sustainable Procurement and Corporate Social Responsible Directorate Responsibility



The Town is committed to providing a preference to suppliers that demonstrate sustainable business practices and high levels of Corporate Social Responsibility (CSR). Where appropriate, the Town shall endeavour to provide an advantage to suppliers demonstrating that they minimise environmental and negative social impacts and embrace sustainable business practices and Corporate Social Responsibility (CSR). These considerations must be balanced against value for money outcomes in accordance with the Town's sustainability objectives.

#### **Purchasing Requirements**

##### Legislative and Regulatory Requirements

The requirements that must be complied with by the Town, including purchasing thresholds and processes, are prescribed within the Regulations, this Policy and associated purchasing procedures in effect at the Town.

##### Policy

Purchasing that is \$1250,000 or below in total value (excluding GST) must be in accordance with the purchasing requirements under the relevant threshold as defined under section 35.6 of this Purchasing Policy.

Purchasing that exceeds \$2,150,000 in total value (excluding GST) must be put to public tender when it is determined that a regulatory tender exemption, as stated under 35.7 of this Policy is not deemed to be suitable, unless otherwise stipulated in relevant legislation.

##### Purchasing Value Definition

Determining purchasing value is to be based on the following considerations:

Exclusive of Goods and Services Tax (GST);

The actual or expected value of a contract over the full contract period, including all options to extend; or the extent to which it could be reasonably expected that the Town will continue to purchase a particular category of goods, services or works and what total value is or could be reasonably expected to be purchased. A best practice suggestion is that if a purchasing threshold is reached within three years for a particular category of goods, services or works, then the purchasing requirement under the relevant threshold (including the tender threshold) must apply.

Must incorporate any variation to the scope of the purchase and be limited to a 10% tolerance of the original purchasing value.

##### Anti-Avoidance

The Town or its employees/officers shall not, at any stage, seek to enter into two or more contracts or create multiple purchase order transactions of a similar nature for the purpose of "splitting" the value of the purchase or contract in order to reduce the value of the consideration of the purchase below a particular purchasing threshold.

##### 2.3 Officer Authorised to Purchase Goods/Services

Officers who are authorised to procure goods and/or services on behalf of the Town are only to authorise such goods and/or services to make purchases within their limit.

The policy does not give staff the authority to acquire or authorise the acquisition of order goods and services above their limit, except by prior arrangement with a suitably authorised officer.

Only the issuing of a purchase order number, other than payment by corporate purchase card, is confirmation that the purchase has been authorised by the Town of Clermont.

3.6 Other purchasing exemptions under \$250,000

The following exemptions where the Town is not required to undertake a competitive purchasing process (as detailed in 3.7 of this Policy) and where the total value of the purchase does not exceed \$250,000 include:

- Services of WATGA and IGIS;
- Services of government entities including, but not limited to Federal, State, Local government entities, and Government Trading Enterprises (GTE's);
- Where for various reasons it is considered in the best interest of the Town to undertake procurement activities which are not provided for by this policy, an officer may:
  - Recommend to the CEO reasons to undertake unique or urgent expenditure in accordance with relevant approved operating procedures;
  - CEO to evaluate the recommendation for unique and urgent expenditure in accordance with relevant approved operating procedures; and
  - Details of the procurement activity are to be reported to Council at the next available meeting.
- Advertising;
- Annual Memberships / Subscriptions;
- Annual Services / Software maintenance / support fees;
- Fuels and Oils;
- Provision of utility services; and
- Purchases for maintenance of equipment from Original Equipment Manufacturer (OEMs) and where warranty provisions may be void.

The raising of a purchase order does not apply to those circumstances where:

- The acquisition of goods and services are obtained from a sole supplier;
- The value of the goods and services is not possible to confirm until receipt of an invoice.

Examples of such circumstances include (but are not limited to):

- Motor Vehicle licensing, registration and stamp duties
- Postal charges (Australia Post);
- Insurance excesses
- Utility fees and charges
- Where purchase by corporate purchasing card is not available, and reimbursement of expenses to officer is required
- Refunds

Local Economic Benefit

Under the State Government's Buy Local Policy, Government Agencies and Local Governments, including the Town, are encouraged to maximise participation of local and small businesses in the supply of goods, services and works. As much as practicable, the Town will:

- Where appropriate, consider buying practices, procedures and specifications that do not unfairly disadvantage local businesses.
- Consider indirect benefits that have flow on benefits for local suppliers (i.e. servicing and support).

- Ensure that procurement plans address local business capability and local content.
- Explore the capability of local businesses to meet requirements and ensure that Requests for Quotation and Tenders are designed to accommodate the capabilities of local businesses.
- Avoid bias in the design and specifications for Requests for Quotation and Tenders – all Requests must be structured to encourage local businesses to bid.
- Provide adequate and consistent information to potential suppliers.

#### Tendering Exemptions

An exemption to publicly invite tenders may apply in the following instances:

1. the purchase is obtained from a pre-qualified supplier under the WALGA Preferred Supply Program or State Government Common Use Arrangement
2. the purchase is from a Regional Local Government or another Local Government

Where the purchasing requirement is over the value of \$1,000 and of such a unique nature that it can only be supplied from one supplier, the purchase is permitted without the requirement to undertake a tender or quotation process. This is only permitted in circumstances where the Town is satisfied and can provide evidence that there is only one source of supply for those goods, services or works. The Town must use its best endeavours to determine if the sole source of supply is genuine by exploring if there are any alternative sources of supply. Once determined, the justification for the Sole Source of Supply must be endorsed by the relevant Director, prior to a contract being entered into.

From time to time, the Town may publicly invite an expression of interest to effectively determine that one sole source of supply still genuinely exists in respect to the provision of any good or service.

3. the purchase is acquired from a person registered on the WA Aboriginal Business Directory, as published by the Small Business Development Corporation, where the consideration under contract is worth \$250,000 or less and represents value for money.
4. the purchase is acquired from an Australian Disability Enterprise and represents value for money.

2.2 If any of the other exclusions under Regulation 11 of the Regulations apply.  
3.6 Inviting Tenders Under the Tender Threshold

2.3 Where considered appropriate and beneficial, the Town may consider publicly advertising Tenders in lieu of undertaking a Request for Quotation for purchases under the tender threshold. This decision should be made after considering the benefits of this approach in comparison with the costs, risks, and timeliness of the outcome and compliance requirements and also whether the purchasing requirement can be met through the WALGA Preferred Supply Program or State Government CUA.

2.4 If a decision is made to undertake a public Tender for contracts expected to be



*To this extent, a qualitative weighting may be afforded in the evaluation of quotes and tenders where suppliers are located within the boundaries of the Town or substantially demonstrate a benefit or contribution to the local economy.*

**4. Purchasing From Disability Enterprises**

*Pursuant to Part 4 of the Local Government (Functions and General) Regulations 1996, the Town is not required to publicly invite tenders if the goods or services are to be supplied from an Australian Disability Enterprise, as registered on. This is contingent on the demonstration of value for money.*

*Where possible, Australian Disability Enterprises are to be invited to quote for supplying goods and services under the tender threshold. A qualitative weighting may be afforded in the evaluation of quotes and tenders to provide advantages to Australian Disability Enterprises.*

**5. Purchasing From Aboriginal Businesses**

*Pursuant to Part 4 of the Local Government (Functions and General) Regulations 1996, the Town is not required to publicly invite tenders if the goods or services are to be supplied from a person registered on the Aboriginal Business Directory published by the Small Business Development Corporation on where the expected consideration under contract is worth*

*\$250,000 or less. This is contingent on the demonstration of value for money.*

*Where possible, Aboriginal businesses are to be invited to quote for supplying goods and services under the tender threshold. A qualitative weighting may be afforded in the evaluation of quotes and tenders to provide advantages to Aboriginal-owned businesses, or businesses that demonstrate a high level of aboriginal employment.*

**4. Legislation**

Local Government Act 1995  
Local Government (Functions and General) Regulations 1996  
State Records Act 2000 (WA)

**Relevant Procedures, Policies and Other Documents**

Purchasing Practice Guide

**Policy Adoption and Amendment History**

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted	862/99	26/10/1999
Reviewed	536/03	16/12/2003
Reviewed	202/07	17/07/2007
Modified	210/10	05/10/2010
Modified	23/12	06/03/2012
Reviewed	360/13	10/12/2013
Reviewed	203/14	09/12/2014
Reviewed	226/15	15/12/2015
Modified	121/16	02/08/2016
Reviewed	206/16	13/12/2016
Modified	228/18	18/12/2018
Reviewed		

	<b>LG530</b> <b>Bank Accounts and Payments</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> DA9 Payment of Accounts

### Purpose

The purpose of this policy is to:

1. Ensure the Town of Claremont (the Town) is compliant with the Local Government Act 1995 by maintaining which requires the operation of separate bank accounts for monies held in the Municipal Fund, Trust Fund and in the Reserve Fund. Reserve Accounts.
2. Provide guidance on the opening and management of all bank accounts.

### Policy

With respect to the Municipal Fund (Municipal Account and Reserve Account) and Trust Fund (Trust Account) which are required to be maintained:

1. Two signatories are required for all payments, (cheques or electronic funds transfer) ~~from the above Bank Accounts.~~ The signatories ~~for the above accounts~~ shall be:
  - a. Chief Executive Officer (CEO),
  - ~~a-b. Any member of the Executive team, including Director Governance and People (DGP),~~  
Director Infrastructure (DI) and Director Planning and Development (DPD)  
~~Director Corporate and Governance (EMCG)~~  
~~Director People and Places~~
  - ~~b-c. Manager Finance (MF); and/or~~
  - ~~c-d. Other officers authorised in writing by the Chief Executive Officer.~~
2. The following limits are established in respect of ~~cheque~~ signatories:

<u>Amount for a single vendor or a single invoice (whichever is higher)</u>	Primary Signatory	Secondary Signatory
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Up to \$75,000	DCG, MF	DPP, DI, DPD
\$75,000 Up to \$150,000	DCG MF, CEO	DPP, DI, DPD, MF DGP, DI, DPD
Greater than \$150,000	CEO	DCG, DPP, DI, DPD, MF DGP, DI, DPD, MF

Any officer with a higher authorisation limit can sign for a lesser amount.

In the absence, or non-availability, of an officer with a higher authorisation limit, an officer with the next highest limit is authorised to sign.

3. Any officers nominated in writing by the Chief Executive Officer to act in the position of an authorised signatory are eligible to sign for payments in accordance with that position. This includes a Director acting as Chief Executive Officer.

3.4. Electronic Funds Transfer (EFT) Payments may be used as follows:

- a. Municipal Account. For the payment of supplier invoices for goods and services received, payroll, transfer to Reserve accounts, refund of bonds, and investment of funds in accordance with Council's Town's Investment Policy LG511.
- b. Trust Account. For refund of bonds or deposits held in trust, and investment of funds in accordance with Council's Town's Investment Policy.
- c. Reserve Account. For investment of funds in accordance with Council's Town's Investment Policy and transfer to the Municipal account.

### Payments

#### Weekly Cheque or Electronic Fund Transfer (EFT) Production

A cheque or EFT production run will be performed weekly, or as required for the payment of all accounts.

#### Credit Card

The Chief Executive Officer and other officers nominated in writing by the Chief Executive Officer are authorised to make credit card payments direct from the Municipal Account in accordance with Council's Town's Corporate Credit Card Policy LG512.

### Presentation of Accounts

4.5. A list of all payments ~~made will be prepared~~ and submitted to Council ~~meeting~~ each month at an Ordinary Council Meeting showing for each account paid in that month, details such as the payee's name, amount of the payment, date of the payment, sufficient information to identify the transaction, and the account from which the payment is made.

#### Legislation

*Local Government Act 1995*, Section 5.42 and sections 6.6 – 6.11

#### Relevant Procedures, Policies and Other Documents

[Accounts payable procedure](#)

[Payment listing and report procedure](#)

#### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted	164/16	18/10/16
Reviewed	206/16	13/12/2016
Reviewed	228/18	18/12/2018
Reviewed		



Audit and Risk Management Committee Meeting Minutes

5 February 2021

**7 OTHER BUSINESS**

**8 NEW BUSINESS OF AN URGENT NATURE APPROVED BY THE PRESIDING PERSON OR BY DECISION OF MEETING**

**9 FUTURE MEETINGS OF COMMITTEE**

To be advised

**10 DECLARATION OF CLOSURE OF MEETING**

There being no further business, the presiding member declared the meeting closed at 8.32am.

.....  
**CHAIRPERSON**



# **MINUTES**

## **Audit and Risk Management Committee Meeting Friday, 5 February 2021**

**Date: Friday, 5 February 2021**

**Time: 8.00am**

**Location: Zoom Videoconferencing**

**Liz Ledger  
Chief Executive Officer**



**DISCLAIMER**

Persons present at this meeting are cautioned against taking any action as a result of any Committee recommendations until such time as those recommendations have been considered by Council and the minutes of that Council meeting confirmed.

**Order Of Business**

<b>1</b>	<b>Declaration of Opening / Announcement of Visitors.....</b>	<b>4</b>
<b>2</b>	<b>Record of Attendance / Apologies.....</b>	<b>4</b>
<b>3</b>	<b>Disclosure of Interests .....</b>	<b>4</b>
<b>4</b>	<b>Confirmation of Minutes of Previous Meeting .....</b>	<b>4</b>
<b>5</b>	<b>Presentation.....</b>	<b>5</b>
<b>6</b>	<b>Reports of the CEO.....</b>	<b>6</b>
6.1	Update on Regulation 17 Audit recommendations.....	6
<b>7</b>	<b>Other Business .....</b>	<b>75</b>
<b>8</b>	<b>New Business of an Urgent Nature Approved by the Presiding Person or by Decision of Meeting .....</b>	<b>75</b>
<b>9</b>	<b>Future Meetings of Committee.....</b>	<b>75</b>
<b>10</b>	<b>Declaration of Closure of Meeting .....</b>	<b>75</b>

**MINUTES  
AUDIT AND RISK  
HELD AT THE TOWN OF CLAREMONT,  
HIGHWAY,  
ON FRIDAY, 5 FEBRUARY 2021 AT 8.00AM**

**OF  
RISK  
CLAREMONT COUNCIL CHAMBERS, 308 STIRLING  
CLAREMONT**

**TOWN  
MANAGEMENT**

**OF  
COMMITTEE**

**CLAREMONT  
MEETING**

**1 DECLARATION OF OPENING / ANNOUNCEMENT OF VISITORS**

Cr Haynes welcomed staff and members of the Audit and Risk Management Committee and declared the meeting open at 8.02am.

**2 RECORD OF ATTENDANCE / APOLOGIES**

**PRESENT:**

Mayor Jock Barker

Cr Bruce Haynes

Cr Paul Kelly

Cr Peter Telford

Community Representative Marguerite Anklesaria

Community Representative Aiden Daly

**IN ATTENDANCE:**

Liz Ledger, Chief Executive Officer

Bree Websdale, Director Governance and People

Vicki Cobby, Manager Finance

**LEAVE OF ABSENCE:**

Nil

**3 DISCLOSURE OF INTERESTS**

Nil

**4 CONFIRMATION OF MINUTES OF PREVIOUS MEETING**

**COMMITTEE RESOLUTION 001/21**

**Moved: Mayor Jock Barker**

**Seconded: Cr Paul Kelly**

**That the minutes of the Audit and Risk Management Committee Meeting held on 30 October 2020 be confirmed.**

**CARRIED**

**5 PRESENTATION**

Nil

## 6 REPORTS OF THE CEO

### 6.1 UPDATE ON REGULATION 17 AUDIT RECOMMENDATIONS

**File Number:** GOV/00054, D-20-49877

**Author:** Bree Websdale, Director Governance and People

**Authoriser:** Liz Ledger, Chief Executive Officer

**Attachments:**

1. Regulation 17 Audit Report
2. Complaints Management
3. Risk Management Policy
4. Legislative Compliance Policy
5. Public Interest Disclosure Policy
6. Fraud Prevention Policy
7. Corporate Purchasing Cards Policy
8. Purchasing Policy
9. Purchasing Policy (with tracking)
10. Bank Account Policy

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#### PURPOSE

To provide the Audit and Risk Committee with a further update on the recommendations from the audit undertaken pursuant to Regulation 17 of the *Local Government (Audit) Regulations 1996*.

#### BACKGROUND

*Local Government (Audit) Regulations 1996*, Regulation 17 prescribes a number of matters that are to be reviewed by a local governments Audit and Risk Management Committee. Regulation 17 provides:

- (1) *The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to —*
  - (a) *risk management; and*
  - (b) *internal control; and*
  - (c) *legislative compliance.*
- (2) *The review may relate to any or all of the matters referred to in subregulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review not less than once in every 3 financial years.*
- (3) *The CEO is to report to the audit committee the results of that review.*

A review was conducted by consultant, Avant Edge Consulting and a report produced dated 21 May 2020 (see attachment 1).

The report outlined 16 improvement opportunities for the Town. This report sets out progress of the Town on a number of the findings.

An update on progress achieved was reported to the committee on 30 October 2020.

**DISCUSSION****Policy Manual**

One of the findings from Avant Edge Consulting was that the Town's policy manual was missing a number of key policies.

<b><i>Finding 14: Need to Update the Town Policy Manual</i></b>	<b><i>Recommendation</i></b>
<p>The policy manual does not provide appropriate policy guidance in regards to the following key processes:</p> <ul style="list-style-type: none"> <li>• Complaints Management</li> <li>• Risk Management</li> <li>• Cash Receipting and Banking</li> <li>• Legislative Compliance</li> </ul>	<p>The Town, via the Governance unit review the Town's Policy Manual to include the following processes and any other policies that have been identified as part of this review report that need to be included in the Town's Policy Manual.</p> <ul style="list-style-type: none"> <li>• Complaints Management</li> <li>• Risk Management</li> <li>• Cash Receipting and Banking.</li> <li>• Legislative Compliance.</li> </ul>

The report recommended and the following policies have now been drafted:

1. LG541- Complaints Management (See attachment 2).
2. LG534- Risk Management (See attachment 3).
3. LG539 -Legislative Compliance (See attachment 4).

<b><i>Finding 2: Need to Develop a Fraud Prevention Policy</i></b>	<b><i>Recommendation</i></b>
<p>The Town does not currently have in place a "Fraud Prevention Policy" or a "Whistle blower Policy. Such a policy would outline the importance and responsibility that all staff have in the Town have in ensuring that fraud is prevented through proper adherence and compliance with existing management controls".</p> <p>We understand that the Town is currently in the process of developing such policies</p>	<p>The Town develop a formal "Fraud Prevention Policy" and guidelines to empower staff prevent the occurrence of fraud and to report suspected fraud.</p> <p>The Town also give consideration to developing a "Whistle Blower Policy" and guidelines in order to protect staff confidentiality when staff need to report suspected fraudulent activity.</p>

The report recommended and the following policies have now been drafted:

4. LG536- Public Interest Disclosure (See attachment 5).
5. LG538- Fraud Prevention (see attachment 6).

A detailed review of the entire Policy manual is in progress to be presented to Council before 30 June 2021.

The following policies have been reviewed and where appropriate amended. These draft policies are provided to the Committee for their review and input prior to presentation to Council:

1. LG512 -Corporate Purchasing Cards (See attachment 7). This policy is largely unchanged (maybe just say what has changed).
2. LG509- Procurement, now called “Purchasing” policy (See attachment 8 and 9, a tracked and clean version are attached). This policy has been rewritten to make it more concise and easier for employees to read and understand. Additional exemptions have been provided including provision of services from WALGA and LGIS.
3. LG 530- Bank Accounts and Payments, now called “Bank accounts” policy (See attachment 10). This policy addresses bank accounts and signatories. This policy has been amended.

### Cash Handling

<b>Finding 12: Need Safer Process for Cash in Transit</b>	<b>Recommendation</b>
<p>The Town currently has cash receipting facilities at the Administration building, Library and the Aquatic Centre.</p> <p>We understand that all banking of cash and cheques is undertaken by staff at these centres and the Town does not use armed guard security services to collect and deliver cash and cheques to the Town’s bank.</p>	<p>The Town reassess the potential risk associated with staff carrying cash to the bank versus the associated cost of using armed security services.</p>

A report on the cash handling processes of the Aquatic Centre was provided to this committee in the October 2020 meeting.

Since this time, Job Safety Analysis in relation to banking and cash handling has been undertaken for each of the Library Community Hub and the Town’s Administration Building (reception/customer service desk). The peak risk ratings for each facility have been assessed as 4 with current controls in place; that being a Low Risk.

Many of the precautions, processes and security measures in place at the Aquatic Centre are also in place at both the Library and Main Administration desk. These include:

1. The Town has procedures for armed hold up and theft.
2. The reception area is secure with access doors able to be locked closed.
3. The reception areas are always staffed or otherwise closed to the public.
4. The till draw is closed when not in use.
5. Counting is undertaken behind closed doors or at times when closed to the public.
6. The counting is carried out on different days and times to minimise routine.
7. Staff are trained in cash handling.

8. Multiple duress alarms are in place and are monitored by external security companies.
9. Banking run times and days are varied.

### *Library and Community Hub*

The amount of cash takings and float at the Library are very low, mainly comprising late fees, lost book charges and photocopying payments. A secure coin box is in place for photocopy payments.

Existing CCTV covers the car park near the entrance to the Library. As part of this review, actions have been taken to install an additional camera to monitor the library entrance. There is no CCTV over the POS terminal. This is not considered a material risk given the extremely low levels of cash involved.

There are a minimum of two staff on duty during opening times.

### *Administration Building*

Cash levels at the Administration customer service desk are considered low. Takings are banked daily to minimise cash holdings.

Multiple existing CCTV cameras cover both entrances, external areas surrounding the administration lobby, the lobby and main desk. The reception area is in a highly visible location with moveable acrylic barriers between the public areas and the service staff.

Multiple front desk staff members are on duty during business hours. The secure doors to the Administration Building are locked outside of business hours.

The audit report stated *“Security over point of sale systems for the receipting of cash is essential not only for the safeguarding of cash but for the overall safety of staff who operate those systems. As such all point of sale systems where cash is receipted should be protected by CCTV cameras and duress alarms”*.

Both the Library and Administration building Customer Service desk have duress alarms in the reception areas. These alarms are regularly tested.

The Town has assessed the potential risk associated with staff carrying cash to the bank as a Low Risk versus the associated cost of using armed security services.

Additional measures to encourage payment via electronic and online methods could be investigated. This may result in not only lower levels of cash. Although older ratepayers tend to prefer to pay in person in cash. An eftpos machine could be provided for use at the library.

The Town is overall satisfied with the current arrangements and recommend they remain in place.

### **Financial Management Review**

<b>Finding 16.0. Need to Establish an Internal Audit Activity for the Town</b>	<b>Recommendation</b>
<p>The Town does not have in place a dedicated Internal Audit Activity which is able to undertake routine risk management, internal control and legislative compliance audits.</p> <p>Such an activity, should it be established, would be responsible for reporting their findings and recommendations directly to the</p>	<p>The Town CEO, through the Governance unit and the Audit and Risk Management Committee give consideration to the establishment of an Internal Audit Activity for the Town.</p>



<p>Audit and Risk Management Committee assisting the Audit and Risk Management Committee in meeting their governance responsibilities.</p> <p>Although The town's annual financial statements auditors do undertake control assessments, these relate mainly to finance related processes and are limited only in relation to such processes impacting on the accuracy of the reported financial statement figures.</p> <p>The Internal Audit Activity can be established either as an inhouse function or outsourced to a reputable accounting/audit firms who specialise in providing Internal Audit services.</p>	<p>Consideration be given to establishing a 3 year internal audit program, endorsed by the Audit and Risk Management Committee, made up of potential audits to be carried out based on the Town's identified strategic and operational risks.</p>
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A Financial Management Audit is currently being undertaken by Moore Australia. This is an external audit but still relevant to Finding 16.

The Town is in the process of providing the requested information by Moore Australia.

Moore Australia will be attending the Town's office in early February 2021.

## PAST RESOLUTIONS

Audit and Risk Management Committee, 29 May 2020

### COMMITTEE RESOLUTION 007/20

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

1. Note the Chief Executive Officer (CEO)'s Report (as per Attachment 1); and
2. Request the CEO to present the progress of the recommendations on a quarterly basis.

CARRIED

Audit and Risk Management Committee, 30 October 2020

### COMMITTEE RESOLUTION 011/20

That the Audit and Risk Management Committee notes the contents of this report

CARRIED

## FINANCIAL AND STAFF IMPLICATIONS

Resource requirements are in accordance with existing budgetary allocation.

## POLICY AND STATUTORY IMPLICATIONS

*Local Government (Audit) Regulations 1996*

**COMMUNICATION / CONSULTATION**

There has been consultation with the relevant business units, executive team and Chief Executive Officer.

Apart from the consultant's undertaking the Financial Management Review, there has been no consultation outside of the Town administration required.

**STRATEGIC COMMUNITY PLAN****Leadership and Governance**

*We are an open and accountable local government; a leader in community service standards.*

- Demonstrate a high standard of governance, accountability, management and strategic planning.
- Continually assess our performance and implement initiatives that drive continuous improvement.

**URGENCY**

Nil

**VOTING REQUIREMENTS**

Simple Majority decision of Council (*More than half the elected members present are required to vote in favour*).

**OFFICER RECOMMENDATION**

That:

1. The Audit and Risk Committee notes the contents of this report.

**COMMITTEE RESOLUTION 002/21**

Moved: Mayor Jock Barker

Seconded: Cr Paul Kelly

1. The Audit and Risk Committee notes the contents of this report.

**CARRIED**



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**AUDIT & ASSURANCE SERVICES**

Liability limited by a scheme approved under Professional Standards Legislation

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21 May 2020

CEO  
Town of Claremont  
Number One Claremont  
308 Stirling Highway  
CLAREMONT WA 6010

Dear Ms Ledger

Please find attached our final review report on the Regulation 17 review of the Town of Claremont.

As per Regulation 17(1), (2) and (3) of the Local Government (Audit) Regulations 1996, the CEO is required to undertake a review, at least once every 3 financial years, of the following processes:

- Risk Management;
- Internal Control;
- Legislative Compliance.

Our review report details our findings and recommendations which includes management comments in regards to our findings and recommendations.

We would like to thank your staff for their positive cooperation provided to us during the conduct of this review especially in light of the COVID 19 distancing restrictions which applied throughout this review process.

Yours sincerely

Santo Casilli FCPA MIA (Aust.)  
Director

**Avant Edge Consulting**

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Level 8 – 251 St Georges Terrace Perth WA 6000; PO Box 617 Subiaco WA 6904  
Mobile: 0409 104 929 - Phone: 6118 2100; Email: [scasilli@avantedgec.com.au](mailto:scasilli@avantedgec.com.au);  
Web: [www.avantedgeconsulting.com.au](http://www.avantedgeconsulting.com.au)



Town of Claremont

Regulation 17 Review

21 May 2020

Final Review Report

(Review in Confidence)

Avant Edge Consulting  
Certified Practising Accountant

Liability limited by a scheme approved under Professional Standards Legislation

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## Executive Management Summary

As per Regulation 17(1), (2) and (3) of the *Local Government (Audit) Regulations 1996*, the Chief Executive Officer (CEO) is required to undertake a review, at least once every 3 financial years, of the following processes:

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

The Town of Claremont (**the Town**) uses Council First as its accounting system and has a Policy Manual (last updated 18 December 2018 but currently undergoing a review) governing its operational processes.

### SCOPE AND METHODOLOGY

Our review was conducted in accordance with ASAE 3500 – Assurance Engagement Other Than Audits or Reviews of Historical Financial Information.

The review undertook the following approach:

- Discussions were held with relevant staff to understand the processes and the management controls currently in place. Communications were held with the Manager Governance, Manager Finance and Manager Human Resources throughout the review process.
- Assessed the adequacy of key management controls currently in place over the risk management, accounts payable, cash receipting, payroll, staff recruitment and procurement functions and evaluated those controls to determine their appropriateness and also to identify areas for control process improvement.
- Due to the COVID 19 Government imposed social distancing rules and the subsequent closure of the Town's administration and out centres such as the Library and Aquatic Centre and staff working from home, all information was requested and received via email and via phone contact.

### OUR WORK PROGRAM

Our work incorporated the following areas for review as required under Regulation 17:

#### 1. RISK MANAGEMENT

- a. Governance Framework is in place and endorsed by the Audit and Risk Management Committee.
- b. A formal governance unit exists.
- c. Risk Management and governance policies are in place and have been endorsed by the Audit and Risk Management Committee/Council.
- d. An Operational and Strategic Risk Register is in place and is constantly reviewed and updated.
- e. Regular development of risk reports and actions to address risks are identified and actioned.



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**Regulation 17 Review****Town of Claremont**

- f. Fraud Risk Identification and Prevention policies are in place including a Whistle Blower policy.
- g. An effective Audit and Risk Management Committee exists and proper Committee processes are followed.

**2. INTERNAL CONTROL**

- a. Delegation of Authority is in place, up to date and reviewed regularly.
- b. Proper and formal documented policies (guidelines and procedures) are in place and are kept up to date.
- c. Internal assessment of control processes exists e.g. via an internal audit function or by the Town's Governance area.
- d. Assessed the work undertaken by the Town's external Auditors re the review of the town's control environment.
- e. Proper segregation of duties and management controls exist in relation to the following key accounting processes:
  - o Accounts payable;
  - o Cash collection, receipting and reconciliation;
  - o General Ledger reconciliation and checking functions;
  - o Payroll;
  - o Staff recruitment and staff performance appraisals;
  - o Procurement.

**3. LEGISLATIVE COMPLIANCE**

- a. The Compliance Audit Return (CAR) is properly completed each year and any non-compliance matters are investigated promptly.
- b. Legislative compliance is monitored and regularly reviewed to ensure compliance.

**CONCLUSION**

Based on our assessment of the management controls and processes that exist at the Town in regards to the above 3 key areas of the Regulation 17 review, we noted a number of areas that require process improvement. We believe that management implementation of the process improvements that we have identified as part of our review will strengthen existing management controls currently in place and will also improve overall governance within the Town's operations.

We are happy to report that there were no high risk matters that would require immediate attention by the Town Management.

The matters raised in this report are only those which came to our attention during the course of performing our review and may not necessarily be a comprehensive statement of all the possible process improvement options that may be made in relation to the Risk Management, Internal Control and Legislative Compliance matters.

Our review report is provided to the Town in order for the Town to meet their statutory obligations under Regulation 17 and as such we do not encourage this report to be used for any other purpose.

In relation to the above areas that formed part of our review, we wish to provide a summary of our findings. Our proposed recommendations in regards to each finding, including management comments as to action to be taken against each of the findings and



recommendations, have been included in the "Detailed Findings and Recommendations" section of this report:

## **RISK MANAGEMENT**

The Town currently does have in place a final and endorsed Risk Management Framework which outlines the Town's risk identification systems and policies and outlines how the Town will manage its risks. The Town has in place a risk management system (a process by which both strategic and operational risks are identified for ongoing management and review) via the establishment of an integrated risk register. However, the risk register was last updated in August 2018 and needs to be updated. The Town's governance position became vacant in late 2018 with the new incumbent commencing early 2020.

The Town does not currently have in place a "Fraud Prevention Policy" and a "Whistle Blower Policy". We understand these two policies are being drafted by the Town as they were identified as required as part of the policy manual review being undertaken. Such policies outline the importance and responsibility that all staff in the Town have in ensuring that fraud is prevented through proper adherence and compliance with existing management controls and that where fraud is suspected that it is reported for investigation.

## **INTERNAL CONTROL**

### ***Procurement***

The Town's procurement process requires improvement. The following should be considered by management:

1. Monitoring the Town's procurement process.

The Town's procurement process is decentralised and as such all procurement decisions and actions are managed by the various operational areas based on their procurement needs. Although the Town's procurement policy is outlined in the Town's Policy Manual (LG509, "Procurement") and in process maps, other than the policy there is no formal centralised procurement team or area whose sole role is to provide procurement guidance to the various operational areas nor is there any formal monitoring role set up to ensure proper procurement policy and processes are being consistently complied with.

As part of our review and our discussions with two contract managers we were unable to be satisfied that conflict of interest declarations were being provided by selection panel members at all times, supplier contracts were being effectively managed throughout the contract period and that RFQ or RFT processes were being properly complied with at all times when seeking quotations.

The current tender register is set up correctly but as procurement is not centralised it requires each operational area to complete and document each part of the procurement process as required under the Part 4 *Local Government (Functions and General) Regulations* 1996. However, on review, the tender register has not been completed in full by each operational area. We recommended that the Town follow up each operational area and establish whether these are instances of non-compliances or failure to complete the tender register.

In addition, we believe that consideration should also be given to include, even though these requirements may not be applicable to the Town, in the Towns Policy Manual (under the procurement policy) the requirements of Section 20(1) and (2) and 21A.



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**Regulation 17 Review****Town of Claremont****2. Implementing end of contract supplier performance appraisals work procedures**

The establishment of Contract Management procedural guidelines is an important and essential element in ensuring that contracted suppliers comply with their contractual obligations, provide goods and services to a high quality and charge for such goods and services in accordance with the agreed and quoted price rate. Further, end of contract supplier performance appraisals allows the Town to evaluate the quality of services provided and to determine whether the supplier should be sought again for future work for the Town.

**3. Establishing work procedures**

The Town does not have in place formal written procurement work procedures that would provide greater guidance to officers within operational areas responsible for procurement of the Town's goods and services. For example, there are no work procedures or work guidelines governing contract management process relating to the need to ensure supplier insurances are sought annually for each of the contract terms, end of contract supplier performance appraisals, panel selection team members signing off the final tender assessments, the need for conflict of interest declarations to be signed by each panel member and the tender opening process.

The Town has recently required all staff to complete a WALGA training module on Procurement and staff have access to the WALGA procurement tool kit.

***Accounts Payable***

The Town's accounts payable process requires improvement. The following should be considered by management:

**1. Policies to reference work procedures**

The Town Policy Manual does not reference key accounts payable work procedures relating to new supplier creation and maintenance of supplier details as below:

- a. Creation of a new supplier process;
- b. Changing a supplier's legal name and bank account details process;
- c. Managing inactive suppliers;
- d. Independent checking of modifications made to the supplier database.

**2. Purchase Orders**

The Town is required to initiate an approved purchase order at the time a supplier is contracted to provide goods and services. Our review found that in many cases the purchase order is being initiated and approved at the stage the Town receives a supplier invoice for payment processing. Issuing of an approved purchase order at the time of receiving the supplier's invoice undermines the management control effect of using purchase orders. Purchase orders provide the necessary authorisation to commit the Town to a future payment and therefore its use is more effective at the time of awarding a supplier contract.

The Town Policy Manual should also make it clear as to when a purchase order should or should not be raised. Purchase Orders are an effective control mechanism for the approval of purchases relating to goods and services. However, purchase orders are not required for administrative type payments such as Synergy bills, Water Corporation bills, staff





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**Regulation 17 Review****Town of Claremont**

reimbursements etc. or for regular ongoing payments such as loan payments. In most cases these are ongoing operational day to day payments.

The Town's Policy Manual does not clearly provide for the process to follow where there is a purchase order/supplier invoice matching variance. Although, we understand, at present any variations between the approved \$ value of a purchase order and the matching supplier invoices requires further authorisation prior to payment, there is no variance tolerability. That is, should there be a variance of say 5% or up to \$100 between the purchase order approved value and the supplier invoice value, the invoice can be paid without further authorisation.

### 3. Creating Purchase Invoices process

When the Finance area is required to create a purchase invoice (loan repayments and other similar administrative type payments) which requires payment via a direct deposit, we understand that the Finance Officer creates a Direct Deposit Request Form which is signed by the Manager Finance and also by the Director Corporate & Compliance. If the direct deposit amount is over \$150,000 (as per the authority limits) the Form is also required to be authorised by the CEO. The purchase invoice is then created electronically and is again also required to be authorised by the Manager Finance and the Director Corporate & Compliance (based on their Delegated \$ limits) or the CEO if over \$150,000.

We assessed this process as part of our review and have formed a conclusion that the process is inefficient and incorporates too many unnecessary approval levels.

### ***Cash receipting***

The Town's cash receipting and control over cash handling process requires improvement. The following should be considered by management:

#### 1. Cash Receipting and security

The Town currently has cash receipting facilities at the Administration building, Library and the Aquatic Centre. We understand that all banking of cash and cheques is undertaken by staff at these centres and the Town does not use armed guard security services. We consider that staff carrying cash directly to the bank is highly risky and puts the Town staff under unnecessary risk during cash in transit.

Security over point of sale systems for the receipting of cash is essential not only for the safeguarding of cash but for the overall safety of staff who operate those systems. As such all point of sale systems where cash is receipted should be protected by CCTV cameras and duress alarms. During our review we were unable to physically visit the Library and the Aquatic Centre in order to sight the existence of these security features due to the closure of these sites as part of the COVID 19 social distancing restrictions. I have been advised that:

- The Library has two duress alarms at the point of sale. The CCTV is on the outside of the Library.
- The Aquatic Centre has a duress alarm in the reception office. The centre is also fitted with CCTV cameras on the main tills, safe and counting station. Further, the Town has applied for a grant to cover additional CCTV to cover the front and entrance of the Aquatic Centre.

We have recommended that the Town ensure that wherever cash is being receipted that there exists a working CCTV camera and duress alarms in place.



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Regulation 17 Review

Town of Claremont

## 2. Policy Manual

There are some key policies that are not included in the Town's Policy Manual. The policy manual does not provide appropriate policy guidance in regards to the following key processes:

- a. Complaints Management (We note the Town has a Customer Experience Charter);
- b. Risk Management;
- c. Cash Receipting and Banking; and
- d. Legislative Compliance.

**LEGISLATIVE COMPLIANCE**

## 1. Compliance Checklist

The Town has a comprehensive compliance calendar which is in the process of being updated by the Governance & Risk and Finance teams. This tracks all activities and actions required to ensure compliance with all legislative requirements associated with the *Local Government Act 1995*, the *Local Government (Functions & General) Regulations 1996* and the *Local Government (Audit) Regulations 1996*.

The annual Compliance Audit Return (**CAR**) is undertaken by the Governance unit (in consultation with all relevant operational areas as required) and reported through the Audit and Risk Management Committee prior to being tabled at Council.

Although the CAR and the comprehensive compliance calendar are appropriate to assess legislative compliance, it does not cater for all the legislative areas that require compliance. We have recommended the Governance unit develop various legislative compliance program checklists which can be distributed to the relevant operational areas for them to undertake a self-compliance assessment, say on an annual basis. Once completed the legislative compliance program compliance checklists should be signed-off by the relevant Managers and their Director as evidence that they have undertaken the compliance checks.

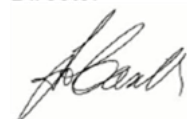
## 2. Internal Audit Activity

The Town does not have in place a dedicated Internal Audit Activity which is able to undertake routine internal control assurance work. Such an activity would be responsible for reporting their assurance findings and recommendations directly to the Audit and Risk Management Committee to provide comfort to the Committee in meeting their responsibilities and obligations. The establishment of an Internal Audit Activity would also allow the Town to meet its legislative obligations in regards to the *Local Government (Financial Management) Regulations 1996*, 5(2) (c) review and *Local Government (Audit) Regulation 1996*, Regulation 17 review requirements. The Internal Audit Activity can be established either as an inhouse function or outsourced via a reputable accounting/audit firm who specialise in providing Internal Audit services.

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Santo Casilli FCPA  
Director

21 May 2020

**Avant Edge Consulting**

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Regulation 17 Review

## Detailed Findings and Recommendations

## Regulation 17 Review

## Town of Claremont

**Audited Area: Risk Management**  
**Audited Activity: Risk Management Process**

Finding	Implication	Recommendation	Ma
<b>1.0 Need to Update the Town's Risk Register</b>  <p>The Town has in place a risk management system (a process by which both strategic and operational risks are identified for ongoing management and review) via the establishment of an integrated risk register. However, the risk register was last updated in August 2018 and is not fully completed and now requires updating.</p>	<p><b>Risk:</b> <span style="border: 1px solid black; padding: 2px;">Medium</span></p> <ul style="list-style-type: none"> <li>In the absence of an up to date and regularly reviewed risk register process the Town's risks would not be able to be effectively mitigated and any new risks identified.</li> <li>The integrated risk register in the absence of identified risk actions may not be effective in mitigating risk.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>The Town's integrated risk register be updated and completed as soon as possible and regularly reviewed to ensure any new strategic and operational risks to the Town can be identified and appropriate actions put in place to mitigate such risks.</li> <li>Also, that the updated and completed integrated risk register should be presented at the Audit and Risk Management Committee for approval on an annual basis.</li> </ul>	<p>Re Dir</p> <p>Ma Ag</p>

## Regulation 17 Review

## Town of Claremont

**Audited Area: Risk Management****Audited Activity: Risk Management Policies**

Finding	Implication	Recommendation	Ma
<p><b>2.0 Need to Develop a Fraud Prevention Policy</b></p> <p>The Town does not currently have in place a "Fraud Prevention Policy" or a "Whistle blower Policy. Such a policy would outline the importance and responsibility that all staff have in the Town have in ensuring that fraud is prevented through proper adherence and compliance with existing management controls.</p> <p>"</p> <p>We understand that the Town is currently in the process of developing such policies</p>	<p><b>Risk:</b> <span style="color: green;">Low</span></p> <ul style="list-style-type: none"> <li>In the absence of a fraud prevention policy and process the Town staff would not be empowered to report where possible fraud is suspected and reported for investigation.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>the Town develop a formal "Fraud Prevention Policy" and guidelines to empower staff prevent the occurrence of fraud and to report suspected fraud.</li> <li>the Town also give consideration to developing a "Whistle Blower Policy" and guidelines in order to protect staff confidentiality when staff need to report suspected fraudulent activity.</li> </ul>	<p>Re Dir Dir  Ma Ag</p>

## Regulation 17 Review

## Town of Claremont

**Audited Area: Internal Control**  
**Audited Activity: Procurement**

Finding	Implication	Recommendation	Ma
<p><b>3.0 Need for Centralised Procurement Monitoring</b></p> <p>The Town's procurement process is decentralised and as such all procurement decisions and actions are managed by the various operational areas based on their procurement needs. Although the Town's procurement policy is outlined in the Town's Policy Manual, other than the Manual, there is no formal centralised procurement team or area to provide procurement guidance to the various operational areas nor is there any formal monitoring role set up to ensure proper procurement policy and processes are consistently complied with.</p> <p>we were also unable to conclude that all procurement activity at the Town is strictly adhering to a proper process in line with the Town's Policy Manual and or in line with the <i>Local Government Act 1995 and the Local Government (Functions and General) Regulations 1996 requirements</i>.</p> <p>For example, we were unable to be satisfied of the following:</p> <ul style="list-style-type: none"> <li>• conflict of interest declarations was provided by selection panel members at all times,</li> </ul>	<p><b>Risk:</b> <span style="border: 1px solid black; padding: 2px;">Medium</span></p> <ul style="list-style-type: none"> <li>• No effective process in place to monitor whether goods and services procured from a supplier were properly procured via an RFQ or RFT process could lead to possible non-compliance or inconsistencies in the procurement process.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>• the Town, via possibly the Governance area, give consideration to developing a "Supplier Expenditure &gt; \$50,000" report. This cumulative report should be obtained from the Council First system, each month, listing the names of all suppliers used by the Town that have accumulated greater than \$50,000 in payments from the supply of goods and services.</li> <li>• all suppliers with an accumulated amount greater than \$50,000 should be investigated to determine how such services were procured either via an RFQ, RFT or via a WALGA supplier panel in line with Town policy and legislative requirements.</li> <li>• that a "Procurement Quality Checklist" document be developed by the Town to be completed by each officer within each operational area responsible for procurement of the Town's goods and services via RFQ's and RFT's.</li> <li>• the Checklist should include a listing of all key procurement stages that are required to be complied with when procuring</li> </ul>	<p>Re</p> <p>Ma</p> <p>Ag</p> <p>an</p> <p>effe</p> <p>on</p>

Regulation 17 Review		Town of Claremont	
Finding	Implication	Recommendation	Ma
<ul style="list-style-type: none"><li>supplier contracts were being effectively managed throughout the contract period,</li><li>RFQ's and RFT's were being properly advertised and enacted on a timely basis once supply contracts had ended.</li></ul>		goods and services via RFQ's and RFT's. The Checklist should be signed off by both the relevant procurement officer and the relevant Delegated officer as evidence that proper procurement process was followed in line with the Town's procurement policy and Local government Act and Regulation requirements	



## Regulation 17 Review

Town of Claremont

**Audited Area: Internal Control**  
**Audited Activity: Procurement**

Finding	Implication	Recommendation	Ma
<b>4.0 Need for Contract Management Guidelines to be Established</b>  Although the Town's Policy Manual outlines the procurement policies, the Town Policy Manual does not reference any formal guidelines in regards to Contract Management process.	<b>Risk: Medium</b>  <ul style="list-style-type: none"> <li>no guarantee that contracted suppliers comply with their contractual obligations, provide goods and services to a high quality and charge for such goods and services in accordance with the agreed and quoted price rate.</li> </ul>	We recommend that: <ul style="list-style-type: none"> <li>contract management guidelines be developed and referenced within the Town Policy Manual.</li> <li>Incorporate end of contract supplier performance appraisals.</li> </ul>	<b>Re</b> Ex   <b>Ma</b>  Ag gu  Ag per con

## Regulation 17 Review

## Town of Claremont

**Audited Area: Internal Control**  
**Audited Activity: Procurement**

Finding	Implication	Recommendation	Ma
<p><b>5.0 Need for Detailed Work Procedures and Guidelines to be Established.</b></p> <p>The Town does not have in place formal written procurement work procedures that would provide greater guidance to officers within operational areas responsible for procurement of the Town's goods and services.</p> <p>For example, there are no work procedures or work guidelines governing:</p> <ul style="list-style-type: none"> <li>• panel selection team signing off the final tender assessments and supplier recommendations,</li> <li>• signed conflict of interest declarations by each panel member,</li> <li>• tender opening process. We have recommended that the Town give consideration to creating formal written procedures and guidelines in regards to all elements of the procurement activity</li> </ul>	<p><b>Risk:</b> <b>Medium</b></p> <ul style="list-style-type: none"> <li>• inconsistency in the procurement practices adopted by various operational areas.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>• the Town give consideration to creating formal written work procedures and guidelines in regards to all elements of the procurement activity</li> </ul>	<p>Re Ex</p> <p>Ma</p> <p>Ag res dep ava</p>

## Regulation 17 Review

## Town of Claremont

**Audited Area: Internal Control**  
**Audited Activity: Procurement**

Finding	Implication	Recommendation	Ma
<p><b>6.0 Need for Tender Register Information to be Compliant.</b></p> <p>The current tender register does not comply with some of the information requirements as outlined under Part 4 of the Local Government (Functions and General) Regulations 1996.</p> <p>These include Sections 17(2) (c) (iii) and 17(2) (d) &amp; (e).</p> <p>17(2) (c) (iii) – relates to reporting a list of acceptable tenders that submitted a tender and were assessed as part of the tender process</p> <p>17(2) (d) &amp; (e) – relates to reporting in the tender register a copy of the notice of invitation to tender and the name of each tender whose tender has been opened.</p>	<p><b>Risk:</b> <span style="color: green;">Low</span></p> <ul style="list-style-type: none"> <li>non-compliance with Local Government (Functions and General) Regulations 1996</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>the Town investigate these non-compliances and ensure the tender register is adjusted accordingly in regards to the requirements of Sections 17(2) (c) (iii), 17(2) 9D) and (e).</li> <li>consideration should also be given to include Section 20(1) and (2) and 21A of Part 4 of the Local Government (Functions and General) Regulations 1996.</li> </ul>	<p>Re Dir</p> <p>Ma</p> <p>Ag cor reg</p>

## Regulation 17 Review

## Town of Claremont

**Audited Area: Internal Control**  
**Audited Activity: Accounts Payable**

Finding	Implication	Recommendation	Management Response
<p><b>7.0 Need for Accounts Payable Policies to be revamped and improved.</b></p> <p>The Town Policy Manual does not clearly reference key accounts payable work procedures relating to:</p> <ol style="list-style-type: none"> <li>Creation of a new supplier process</li> <li>Changing a supplier's legal name and bank account details process</li> <li>Managing inactive suppliers</li> <li>Independent checking of modifications made to the supplier database</li> </ol>	<p><b>Risk: Medium</b></p> <ul style="list-style-type: none"> <li>Provides for inconsistency in dealing with supplier creation and changes to supplier data base information</li> </ul>	<p>We recommend that the Town Policy Manual be updated to reference the following:</p> <ol style="list-style-type: none"> <li>work procedures for new supplier creation and changes to supplier legal name and bank account details</li> <li>New suppliers can only be created upon receipt of a "New Supplier Creation Approval Form" which details the supplier's legal name and trading name, ABN, bank account details and signed by the supplier.</li> <li>User access in Council First for creating a new supplier, should be restricted to only finance staff excluding bonds refund recipients) and to be approved by the Manager Finance and/or Director Corporate &amp; Compliance. Where the Manager Finance has created the new supplier then, for proper segregation of duties, the new supplier creation should be approved by the Director Corporate &amp; Compliance.</li> <li>All requests for change of a supplier's legal name and/or bank account must be provided in writing and signed, either from the supplier's email (clearly showing their company/business logo and/or name) or by post on the supplier's business letterhead and supported with evidence of new legal name and/or new bank account details</li> <li>as an additional control measure that the</li> </ol>	<p><b>Response:</b> Director</p> <p><b>Management:</b> Agreed form to prior adding/</p> <p>A supplier provided payment</p>

Regulation 17 Review		Town of Claremont	
Finding	Implication	Recommendation	Management Response
		Town establish from Council First system, a monthly "Supplier Modification Report" which lists all modifications/changes that have occurred to a supplier, in a given month, which should be independently checked on a sample basis and signed off by the Director Corporate & Compliance	

## Regulation 17 Review

## Town of Claremont

**Audited Area: Internal Control****Audited Activity: Procurement/Accounts Payable**

Finding	Implication	Recommendation	Management
<b>8.0 Need to Ensure Proper Use of Purchase Orders.</b>  <p>The Town is required to initiate an approved purchase order at the time a supplier is contracted to provide goods and services.</p> <p>Our review found that in most cases the purchase order is being initiated and approved at the stage the Town receives a supplier invoice for payment processing.</p> <p>Purchase orders provide the necessary authorisation to commit the Town to a future payment and therefore its use is more effective at the time of awarding a supplier contract.</p>	<p><b>Risk:</b> <span style="border: 1px solid black; padding: 2px;">Medium</span></p> <ul style="list-style-type: none"> <li>Issuing of an approved purchase order at the time of receiving the supplier's invoice undermines the management control effect of using purchase orders and the proper authorisation of purchase orders at the time a supplier is contracted.</li> <li>Increases the possibility of fraudulent action.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>the Town clarify its policy and guidelines in regards to the proper use and approval of purchase orders to ensure that all purchase orders are initiated and approved at the date a supplier quote is accepted and/or a supplier contract for the supply of goods and services is enacted.</li> <li>A copy of the approved purchase order should be issued to the supplier at date of accepting their quote clearly stating that the supplier is required to state the purchase order number on their invoices.</li> </ul>	<p><b>Responsibility:</b></p> <p><b>Management:</b></p> <p>Agree. LG509 under review</p> <p>Finance proc updated.</p>

## Regulation 17 Review

## Town of Claremont

**Audited Area: Internal Control****Audited Activity: Procurement/Accounts Payable**

Finding	Implication	Recommendation	Management Response
<p><b>9.0 Purchase Orders not Required for Administrative Type Payments.</b></p> <p>The Town Policy Manual should make it clear as to when a purchase order should or should not be raised.</p> <p>Purchase Orders are an effective control mechanism for the approval of purchases relating to goods and services. However, we do not consider that purchase orders are required for administrative type payments such as Synergy bills, Water Corporation bills, staff reimbursements etc or for regular ongoing payments such as loan payments. In most cases these are ongoing operational day to day payments.</p> <p>We understand that purchase orders are at times also being requested by Finance for these administrative type payments.</p>	<p><b>Risk:</b> <span style="border: 1px solid green; padding: 2px;">Low</span></p> <ul style="list-style-type: none"> <li>Raising of purchase orders for day to day administrative type payments do not provide any additional control benefit.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>the Town Policy Manual also include, as part of the policy in regards to proper use of purchase orders, clarification as to types of administrative payments where purchase orders are not required for the payment of such invoices.</li> </ul>	<p><b>Responsibility:</b></p> <p><b>Management:</b></p> <p>Agree. To Procedures.</p>

## Regulation 17 Review

## Town of Claremont

**Audited Area: Internal Control****Audited Activity: Procurement/Accounts Payable**

Finding	Implication	Recommendation	Management Response
<p><b>10.0 Need to Establish Purchase Order/Invoice Matching Variance Tolerance Levels.</b></p> <p>The Town's Policy Manual does not clearly provide for the process to follow for the matching of an approved purchase order and a supplier invoice nor where there is a purchase order/supplier invoice matching variance.</p> <p>Although, we understand, at present any variations that is determined between the approved \$ value of a purchase order and the matching supplier invoice \$ value requires further authorisation prior to payment, there is no variance tolerability.</p> <p>That is, should there be a variance of say 5% or up to \$100 between the purchase order approved value and the supplier invoice value, the invoice can be paid without further authorisation.</p>	<p><b>Risk:</b> <span style="color: green;">Low</span></p> <ul style="list-style-type: none"> <li>provides a more efficient process based on risk management principles.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>In order to make the process more efficient, the Town should give consideration to establishing a suitable \$ and % variance that if met as part of the matching process, would not require further approval prior to payment.</li> <li>The Town Policy Manual should also clearly incorporate this variance policy and ensure the following processes are also clearly defined:</li> <li>Matching process between purchase order and supplier invoice</li> <li>Approval of supplier invoice variations</li> </ul>	<p><b>Responsibility:</b></p> <p><b>Management:</b></p> <p>Agree and to Preference 1 Finance Wo policy.</p> <p>Process of p updated in e</p>



## Regulation 17 Review

## Town of Claremont

**Audited Area:** Internal Control  
**Audited Activity:** Accounts Payable

Finding	Implication	Recommendation	Management Response
<p><b>11.0 Need to Address Overuse of Authorisation Controls when Creating Purchase Invoices.</b></p> <p>When the Finance area is required to create a purchase invoice (loan repayments and other similar administrative type payments) which requires payment via a direct deposit, we understand that the Finance Officer creates a Direct Deposit Request Form which is signed by the Manager Finance and also by the Director Corporate &amp; Compliance. If the direct deposit amount is over \$150,000 (as per the authority limits) the Form is also required to be authorised by the CEO.</p> <p>The purchase invoice is then created electronically and is again also required to be authorised by the Manager Finance and the Director Corporate &amp; Compliance (based on their Delegated \$ limits) or the CEO if over \$150,000.</p> <p>After subsequent approvals have been given the purchase invoice is included in the payment run, which again requires approval by the Manager Finance or the Director Corporate &amp; Compliance (based on their Delegated \$ limits as cheque signatories) or the CEO if over \$150,000.</p> <p>We assessed this process as part of our review and have formed a conclusion that the process is inefficient and incorporates too many unnecessary approval levels.</p>	<p><b>Risk:</b> <span style="color: green;">Low</span></p> <ul style="list-style-type: none"> <li>Inefficient and unnecessary over use of authorisation control.</li> </ul>	<p>We recommend that the town give consideration to adopting the following authorisation process when dealing with creation of purchase invoices:</p> <ul style="list-style-type: none"> <li>Requesting Officer - creates direct deposit request form</li> <li>Supervisor/Manager of Requesting Officer - authorises the direct deposit request form which gives authority for the Finance Officer to create a purchase invoice, regardless of the \$ amount.</li> <li>Finance Officer - creates the purchase invoice in Council First system</li> <li>Relevant position - provides electronic authorisation of the purchase invoice in Council First system based on financial authority levels.</li> </ul>	<p><b>Management Response:</b></p> <p>Agree new process as well as di</p>

## Regulation 17 Review

Town of Claremont

**Audited Area: Internal Control**  
**Audited Activity: Cash Handling**

Finding	Implication	Recommendation	Ma
<p><b>12.0. Need Safer Process for Cash in Transit</b></p> <p>The Town currently has cash receipting facilities at the Administration building, Library and the Aquatic Centre.</p> <p>We understand that all banking of cash and cheques is undertaken by staff at these centres and the Town does not use armed guard security services to collect and deliver cash and cheques to the Town's bank.</p>	<p><b>Risk:</b> <span style="border: 1px solid black; padding: 2px;">Medium</span></p> <ul style="list-style-type: none"> <li>staff carrying cash directly to the bank is highly risky and puts the Town staff under unnecessary potential risk during cash in transit.</li> </ul>	<p>We recommend that</p> <ul style="list-style-type: none"> <li>the Town reassess the potential risk associated with staff carrying cash to the bank versus the associated cost of using armed security services.</li> </ul>	<p>Re</p> <p>Ma</p> <p>Ag</p> <p>To</p>

## Regulation 17 Review

Town of Claremont

**Audited Area: Internal Control**  
**Audited Activity: Cash Handling**

Finding	Implication	Recommendation	Ma
<p><b>13.0 Use of CCTV and Duress Alarms</b></p> <p>Security over point of sale systems for the receipting of cash is essential not only for the safeguarding of cash but for the overall safety of staff who operate those systems.</p> <p>As such all point of sale systems where cash is receipted should be protected by CCTV cameras and duress alarms.</p> <p>During our review we were unable to physically visit the Library and the Aquatic Centre in order to sight the existence of these security features due to the closure of these sites as part of the COVID 19 social distancing restrictions nor were we able to determine whether these devices, if fitted, were operational.</p>	<p><b>Risk:</b> <span style="color: green;">Low</span></p> <ul style="list-style-type: none"> <li>Inactive or non-existent CCTV and duress alarms could put Town staff at risk.</li> </ul>	<p>We recommend that</p> <ul style="list-style-type: none"> <li>the Town ensure that wherever cash is being receipted that there exists a working CCTV camera and duress alarms in place.</li> </ul>	<p>Re</p> <p>Ma</p> <p>Ag</p> <p>To</p>

## Regulation 17 Review

## Town of Claremont

**Audited Area:** Internal Control  
**Audited Activity:** General

Finding	Implication	Recommendation	Man
<p><b>14.0. Need to Update the Town Policy Manual</b></p> <p>The policy manual does not provide appropriate policy guidance in regards to the following key processes:</p> <ul style="list-style-type: none"> <li>○ Complaints Management</li> <li>○ Risk Management</li> <li>○ Cash Receipting and Banking</li> <li>○ Legislative Compliance</li> </ul> <p>The Town does have in place a Customer Experience Charter.</p>	<p><b>Risk:</b> <span style="color: green;">Low</span></p> <ul style="list-style-type: none"> <li>• Inappropriate guidelines for staff to follow.</li> </ul>	<p>We recommend that</p> <ul style="list-style-type: none"> <li>• the Town, via the Governance unit review the Town's Policy Manual to include the following processes and any other policies that have been identified as part of this review report that need to be included in the Town's Policy Manual.</li> <li>○ Complaints Management</li> <li>○ Risk Management</li> <li>○ Cash Receipting and Banking</li> <li>○ Legislative Compliance</li> </ul>	<p><b>Res</b></p> <p><b>Man</b></p> <p>Agre prog</p>

## Regulation 17 Review

## Town of Claremont

**Audited Area: Legislative Compliance**  
**Audited Activity: Compliance**

Finding	Implication	Recommendation	Ma
<p><b>15.0. Need to Develop a Legislative Compliance Checklist</b></p> <p>The Town's current legislative compliance program could be improved. The Town currently relies on the annual Compliance Audit Return (CAR) and the Comprehensive Compliance Register to identify and monitor compliance.</p> <p>Although the (CAR) and the Comprehensive Compliance Register are appropriate to assess legislative compliance, it does not cater for all the legislative areas that require compliance under the Local government Act 1995, the Local Government (Functions &amp; General) Regulations 1996 and the Local Government (Audit) Regulations 1996.</p>	<p><b>Risk:</b> <span style="border: 1px solid black; padding: 2px;">Medium</span></p> <ul style="list-style-type: none"> <li>The Town may not be complying with legislative compliance without formal detection.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>the Governance unit give consideration to develop various legislative compliance program checklists which can be distributed to the applicable operational areas for them to undertake a self-compliance assessment, say on an annual basis of their compliance level.</li> <li>Once completed the legislative compliance program compliance checklists should be signed-off by the relevant operational Managers and their Director as evidence that they have undertaken the compliance checks and that any non-compliance matters have been actioned and returned to the governance area.</li> </ul>	<p>Re Dir</p> <p>Ma To</p>

## Regulation 17 Review

## Town of Claremont

**Audited Area: Legislative Compliance****Audited Activity: Audit Function**

Finding	Implication	Recommendation	Ma
<p><b>16.0. Need to Establish an Internal Audit Activity for the Town</b></p> <p>The Town does not have in place a dedicated Internal Audit Activity which is able to undertake routine risk management, internal control and legislative compliance audits. Such an activity, should it be established, would be responsible for reporting their findings and recommendations directly to the Audit and Risk Management Committee assisting the Audit and Risk Management Committee in meeting their governance responsibilities. Although The town's annual financial statements auditors do undertake control assessments, these relate mainly to finance related processes and are limited only in relation to such processes impacting on the accuracy of the reported financial statement figures. The Internal Audit Activity can be established either as an inhouse function or outsourced to a reputable accounting/audit firms who specialise in providing Internal Audit services.</p>	<p><b>Risk:</b> <span style="border: 1px solid black; padding: 2px;">Medium</span></p> <ul style="list-style-type: none"> <li>In the absence of an effective Internal Audit Activity, the Town is unable to obtain assurance that management controls continue to operate satisfactorily, the Towns policies continue to be effective and complied with and that the Town's risks are being properly identified and managed.</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>The Town CEO, through the Governance unit and the Audit and Risk Management Committee give consideration to the establishment of an Internal Audit Activity for the Town.</li> <li>Consideration be given to establishing a 3 year internal audit program, endorsed by the Audit and Risk Management Committee, made up of potential audits to be carried out based on the Town's identified strategic and operational risks.</li> </ul>	<p>Re CE and Co</p> <p>Ma</p> <p>To</p>

## Regulation 17 Review

Town of Claremont

**Appendix A – Risk Criteria Matrix**

The following risk criteria were used to assess level of risk on findings included in the Review Report.

**Risk Assessment Matrix****Likelihood of Risk:**

Rating	Description	Frequency
1	<b>Rare</b> – May occur, only in exceptional circumstances	< once in 15 years
2	<b>Unlikely</b> – Could occur at some time	At least once in 10 years
3	<b>Possible</b> – Should occur at some time	At least once in 3 years
4	<b>Likely</b> – Will probably occur in most circumstances	At least once per year
5	<b>Almost Certain</b> – Expected to occur in most circumstances	> once per year

**Consequence of Risk:**

Description	Health	Financial Loss	Operation	Compliance	Reputation	Project
1. Insignificant	No injuries or illness	<\$50,000	Little Impact	Minor breach of policy, or process requiring approval or variance	Unsubstantiated, low impact, low profile or no news item.	Small variation to cost, timeliness, scope or quality of objectives and required outcomes.
2. Minor	First Aid treatment	\$50,000 to \$250,000	Inconvenient Delays	Breach of policy, process or legislation requiring attention of minimal damage control	Substantiated, low impact, low news profile.	5-10% increase in time or cost or variation to scope objective requiring approval
3. Moderate	Medical treatment required	\$250,000 to \$1 million	Significant delays to major deliverables	Breach requiring internal investigation, treatment or moderate damage control	Substantiated, public embarrassment, moderate impact, moderate news profile.	10-20% increase in time or cost or variation to scope objective requiring Senior Management approval
4. Significant	Death or extensive injuries	\$1 million to \$3 million	Non achievement of major deliverables	Breach resulting in external investigation or third party actions resulting in tangible loss and damage to reputation	Substantiated, public embarrassment, moderate impact, high news profile and 3 <sup>rd</sup> party actions.	20-50% increase in time or cost or significant variation to scope objective requiring restructure of project and Senior Management or Council approval
5. Severe	Multiple deaths or sever permanent disabilities	>\$3 million	Non achievement of major deliverables	Breach resulting in external investigation or third party actions resulting in significant tangible loss and damage to reputation	Substantiated, public embarrassment, very high multiple impacts, high widespread multiple news profile, 3 <sup>rd</sup> party actions.	>50% increase in time or cost or inability to meet project objectives requiring the project to be abandoned or redeveloped

**Risk Exposure:**

Risk = Likelihood x Consequence

Score	Level of Risk	Score	Level of Risk	Score	Level of Risk
1 - 8	<b>Low</b>	9 - 19	<b>Medium</b>	20 - 25	<b>High</b>



	<b>LG540</b> <b>COMPLAINTS MANAGEMENT</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> Nil

### Purpose

The purpose of this policy is:

1. Demonstrate the Town of Claremont's (**Town**) commitment to receiving, acknowledging and resolving complaints in order to improve service provision.
2. To develop a structured and systematic approach to dealing with complaints.
3. To provide guidance and set out expectations in relation to the Town's complaints management approach.

### Definition

Complaint means an expression of dissatisfaction with the Town, a level of service, a lack of promised service or response, or the conduct of an person employed by or representing the Town, which is not anonymous, made to the Town through its Elected Members, Chief Executive Officer or any of its employees in writing or verbal, where a response or resolution is explicitly or implicitly expected.

### Policy

The Town Code of Conduct and Customer Experience Charter detail expectations in relation to employee behavior and levels of service.

The Town will support and promote a culture where complaints are seen as opportunities to learn and improve service delivery.

The Town's approach to managing complaints will be as follows:

- Complaints will remain confidential wherever possible and respectful of a person's privacy.
- Complaints are to be processed within the time frames specified in the Customer Experience Charter.
- Focused on the complainant with visible and accessible contact points provided for complaints.
- Accountable and transparent.



- Responsive and empathetic.
- Objective, fair and neutral.
- Outcome focused and ensure the complainant is involved in the process.
- Free of reprisals against any person involved in the complaint management process.
- The complainant will be kept aware of the progress of a complaint throughout the complaints process; where a complaint has come via an Elected Member, the Town will ensure that the Elected Member is made aware of the progress or outcome of the complaint.
- All correspondence relating to a complaint will be recorded within the Town's records management system.

The Town may refuse to investigate a complaint or may respond to the complainant outside of the Customer Experience Charter timeframes:

- If in the opinion of the Chief Executive Officer a complaint is trivial, frivolous and/or vexatious.
- The complainant is abusive, aggressive, rude, angry, harassing and/or hostile.

The substance of a complaint will dictate the resources allocated by the Town to the complaint.

The Town may determine to take one of the following courses of action:

- Take no further action and advise the complainant of the reason/s.
- Resolve the complaint by use of appropriate strategies such as, but not limited to, mediation, informal discussion or negotiation.
- Discontinue the assessment in circumstances where it becomes evident that the matter should be referred to another body or person and advise the complainant accordingly.

If a complainant is not satisfied with the way that the Town has handled their initial complaint then they may apply for an internal review of the complaint. The reviewing officer will be senior to the initial officer and will reconsider the decision reached, taking all relevant matters into account.

### Legislation

Nil

### Relevant Procedures, Policies and Other Documents

Code of Conduct  
Customer Experience Charter  
Online Complaint Form

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		

	<b>LG534</b> <b>RISK MANAGEMENT</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Governance and People  <b>Relevant Council Delegation</b> Nil

### Purpose

The purpose of this policy is to articulate the Town of Claremont's (**the Town**) commitment to:

1. Identifying and responding to potential risks so that impacts can be minimised and opportunities realised.
2. Ensuring that the Town achieves its strategic and corporate objectives efficiently, effectively whilst following and upholding good corporate governance principles.

### Definitions

Risk is defined as the "effect of uncertainty on objectives".

Risk Management is defined as "co-ordinated activities to direct and control an organisation with regard to risk".

Integrated Risk Management Framework is defined as "set of components that provide the foundations and organisational arrangements for designing, implementing, reviewing and continually improving risk management throughout the organisation".

### Policy

The Town will implement a coordinated approach to managing risks by:

- Implementing an integrated risk management framework based on the AS/NZ ISO 31000.
- Ensuring risk management functions are resourced appropriately to meet the size and scale of the Town's operations.
- Ensuring the Town's strategic and operational planning activities are aligned with the Integrated risk management framework.
- Embedding risk management activities across the Town's operations.
- Requiring all identified risks to be assessed according to the Town's integrated risk management framework to ensure consistency and informed decision making. Where operational requirements

require alternative risk assessment criteria these cannot exceed the Town's risk aptitude and are to be noted within the individual risk assessment.

- Encouraging and supporting a culture of risk based decision making directed towards the effective management of potential opportunities and reduction of potential impacts of risk.
- Implementing regular risk review and periodic reporting to the CEO and Audit and Risk Management Committee.

### Legislation

*Local Government (Audit) Regulations 1996*

### Relevant Procedures, Policies and Other Documents

AS/NZS ISO 31000:2018 Risk Management – Guidelines  
Integrated Risk Management Framework (Internal)  
Integrated Risk Register (Internal)

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		

	<b>LG539</b> <b>LEGISLATIVE COMPLIANCE</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Governance and People  <b>Council Delegation</b> Nil

### Purpose

The purpose of this policy is to outline the Town of Claremont's (**the Town**):

1. Commitment to complying with all legislative requirements contained within the *Local Government Act 1995*, corresponding Local Government Regulations and other legislation applicable to all areas of its operations.
2. Support for the development of systems and processes to assist with legislative compliance and the creation of a compliance culture.

### Policy

The Town will strive for legislative compliance by:

- Providing sufficient resources relative to the size and scale of the Town's operations.
- Ensuring at least an annual review of the compliance management calendar to ensure the key legislative provisions are current.
- Periodic refining of the compliance management calendar to ensure it accurately records the employee or business unit who is responsible for compliance and the measures undertaken to achieve compliance.
- Integration of compliance requirements into day-to-day operations.
- Encouraging and support a culture of compliance and continuous improvement.
- Provide induction and ongoing education and training to ensure employees understand their compliance obligations.
- Providing employees with the resources, training and development programs to identify and remain up to date with new legislation.
- Periodic internal auditing of compliance activities.
- Regular reporting on key compliance obligations and compliance activities to management team, executive team, committees and Council.
- Establish a mechanism for reporting non-compliance.
- Creating and improving processes to detect non-compliance.
- Identifying and where possible remedying instances of non-compliance.
- Review instances of non-compliance to assess how the systems of compliance can be improved.

**Legislation**

*Local Government Act 1995* and all associated Regulations  
Various legislation

**Relevant Procedures, Policies and Other Documents**

Compliance Management Calendar  
Code of Conduct  
Australian Standard AS 19600-2015: Compliance Management Systems- Guidelines  
Risk Management Policy  
Integrated Risk Management Framework

**Policy Adoption and Amendment History**

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		

	<b>LG536</b> <b>PUBLIC INTEREST DISCLOSURE</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Governance and People  <b>Council Delegation</b> Nil

### Purpose

The purpose of this policy is to demonstrate the Town of Claremont's (**the Town**) commitment to developing, implementing and maintaining a governance program for public interest disclosures (**PIDs**).

### Policy

The Town is committed to the aims and objectives of the *Public Interest Disclosure Act 2003* and will:

- Ensure it has at least one designated PID Officer who is qualified to or will be provided training to undertake that role.
- Assist those making disclosures to understand their rights and responsibilities and the available protection under the *Public Interest Disclosure Act 2003*.
- Cultivate a culture that does not tolerate corruption or other improper conduct.
- Encouraging Elected Members and employees to disclose information about suspected wrongdoing through awareness and training initiatives.

### Legislation

*Public Sector Management Act 1994*

*Public Interest Disclosure Act 2003*

*Corruption and Crime Commission Amendment (Misconduct) Act 2014*

### Relevant Procedures, Policies and Other Documents

Code of Conduct

Public Interest Disclosure Lodgement Form

Integrated Risk Management Framework (Internal)

Governance Framework

LG534 Strategic and Operational Risk Register

LG538 Fraud Prevention Policy

**Policy Adoption and Amendment History**

<b>Adopted/Reviewed/ Modified</b>	<b>Date of Meeting</b>	<b>Council Meeting Resolution Number</b>
Adopted (New)		



	<b>LG538</b> <b>FRAUD PREVENTION</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Governance and People  <b>Council Delegation</b> Nil

### Purpose

The purpose of this policy is to articulate the Town of Claremont's **(the Town)**:

1. Commitment to integrity and zero tolerance of fraud, corruption and bribery in all forms.
2. Support for the development of systems and processes to obstruct fraudulent activities, ensure adequate oversight, separation of duties, detection, identification and reporting of breaches.
3. Requirement that all Elected Members, committee members and employees are accountable and behave with integrity, ethically and honestly when performing their duties and during their interactions with stakeholders.

### Policy

To support this vision the Town will implement a coordinated approach to manage risks of fraud by:

- Assessing fraud risks across its business.
- Support the development of systems and processes to obstruct fraudulent activities, ensure adequate oversight, separation of duties, detection, identification and reporting of breaches.
- Developing a Fraud and Corruption Control Plan and reviewing it at least every 2 years.
- Developing and implementing a periodic fraud awareness and prevent training program for employees and Elected Members.
- Ensuring that all conflicts of interest and financial interests are disclosed, recorded and assessed.
- Creating a strong ethical culture that sets the standard of behaviour, including the identification of fraud risks and reporting mechanisms and obligations to act accordingly.
- Ensuring clear internal processes and systems to report any potential fraud, including anonymous reporting.
- Investigating all identified or suspected fraudulent or corrupt conduct.
- Ensuring appropriate reporting, disciplinary action, prosecution and recovery actions are initiated by the Town.
- Collecting and analysing information received about potential fraud to identify any trends or emerging issues.
- Maintaining policies and procedures to verify the identity and integrity of employees, contractors and suppliers.



This policy, in conjunction with the Code of Conduct, the Integrated Risk Management Framework and the Public Interest Disclosure policy aligns with the Town's corporate culture and values to prevent, detect and respond to potential or actual fraud and misconduct and minimise risks to the Town, its people and its assets.

### Legislation

*Local Government Act 1995*

*Local Government (Rules of Conduct) Regulations 2007*

*Local Government (Financial Management) Regulations 1996*

*Local Government (Audit) Regulations 2007*

*Local Government (Administration) Regulations 2007*

*Local Government (Functions and General) Regulations 1996*

### Relevant Procedures, Policies and Other Documents

Code of Conduct

Integrated Risk Management Framework

LG536 Public Interest Disclosure Policy

Gifts and Entertainment Policy

LG509 Purchasing Policy

LG512 Corporate Purchasing Cards

Human Resources recruitment and selection guidelines

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		

	<b>LG512</b> <b>Corporate Purchasing Cards</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> Nil

### Purpose

~~The purpose of the policy is to provide guidance on the issue and control of the use of the Corporate Purchasing Cards to for employees of the Town of Claremont (the Town).~~

### Policy

~~In respect to the issue and use of Corporate Purchasing Cards:~~

- Council has authorised the responsibility of ~~the~~ issue of Corporate Purchasing Cards to the Chief Executive Officer (CEO).
- The CEO can authorise the issue of cards to Directors and other officers as required.
- Purchasing limits ~~in respect to these Corporate Purchasing Cards~~ will be determined by the CEO. A monthly ~~spend per~~ card limit and an individual transaction limit will be determined for each card holder.
- ~~Corporate Purchasing~~ Cards are to be used only for business related expenditure.
- The use of ~~Corporate Purchasing Cards~~the cards does not negate the requirement to comply with the Town's purchasing policy.
- Custodians of Corporate Purchasing cards are ~~entirely~~ responsible for ~~the~~ use of ~~that e-card, including authorised delegates~~. No other officer may use the card.
- Cardholders cannot incur and certify their own expenditure when arranging payment of the monthly invoice to the card supplier.
- ~~The CEO and Directors are authorised to use their respective his card for the purpose of business entertainment.~~
- ~~Cardholders must not obtain personal benefit from the use of the cards, including receipt of frequent flyer points or other reward schemes.~~
- The CEO is to establish procedures for the use of ~~Corporate Purchasing Cards~~seards to ensure adequate control is exercised over their use and that expenditure incurred on ~~such~~ cards is included in the monthly schedule of accounts ~~for payment~~ to be reviewed by Council.

### Legislation

Local Government Act 1995, s. 6.5(a) and s 2.7(2)(a)

*Local Governance (Financial Management) Regulations 1996 s.11(1)(a)*

### Relevant Procedures, Policies and Other Documents

Corporate Purchasing Cards Procedure.

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted	19/02/2013	28/13
Reviewed	10/12/2013	360/13
Reviewed	09/12/2014	203/14
Reviewed	15/12/2015	226/15
Reviewed	13/12/2016	206/16
Reviewed	18/12/2018	228/18
Reviewed		

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	<b>LG509 PURCHASING</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> Nil

### Purpose

The purpose of this policy is to demonstrate the Town of Claremont's (**the Town**) commitment to ensuring that all purchasing activities:

1. Achieve best value for money.
2. Are compliant with all relevant legislation and regulatory obligations.
3. Mitigate probity risk, by establishing consistent and demonstrated processes that promote transparency and fairness.

### Definitions

Act means the *Local Government Act 1995*.

Purchase Value Threshold means the actual or expected value of a contract over the full contract period, including any options.

Pre-qualified panel of suppliers includes a supplier approved through the WALGA preferred supply program or State Government CUA.

Regulations means the *Local Government (Functions and General) Regulations 1996*.

RFT means Request for Tender.

RFQ means Request for Quotation.

WALGA means Western Australian Local Government Association.

### Policy

The Town is committed to delivering best practice in purchasing activities that aligns with the principles of transparency, probity and good governance. The following principles must be observed through all stages of purchasing:

- All purchasing practices shall comply with all relevant legislation.

- All Town's Policies and the Code of Conduct must be followed.
- Purchasing is to be carried out to deliver the most advantageous outcome for the Town.
- Purchasing is to be carried out in accordance with approved budget provisions.
- All processes, evaluations and decisions shall be transparent, free from bias, merit based and fully documented in accordance with applicable policies, practices and procedures, and audit requirements.
- All employees of the Town must act in an honest and professional manner at all times which supports the standing of the Town. Full accountability shall be taken by employees for all purchasing decisions.
- Any actual or perceived conflicts of interest are to be identified, disclosed and appropriately managed.
- With respect to RFQ and RFTs all employees are expected to demonstrate due diligence in seeking quotations. The number of quotations obtained, the contract conditions and level of evaluation required should be determined by having regard to the type and nature of the purchase and the associated risk, and not purely the purchase value as set out in the purchasing threshold table.
- Employees must only undertake purchasing activities within their authorised limit.

### Purchasing Thresholds and Practices

The table below prescribes the minimum purchasing process that must be followed:

Purchase Value Threshold (excluding GST)	Purchasing Requirements
\$1,000 to \$5,000	Obtain at least <b>two (2)</b> oral or written quotation.
Over \$5,000 and up to \$15,000	Obtain at least <b>two (2)</b> oral or written quotations from suppliers following issue of a brief outlining the specified requirement.
Over \$15,000 and up to \$50,000	Obtain at least <b>three (3)</b> written quotations from suppliers following issue of a brief outlining the specified requirement.
Over \$50,000 and up to \$250,000	A formal RFQ process must be followed in accordance with the Act and the Regulations.  At least <b>three (3)</b> written quotations must be obtained.  RFQ from a pre-qualified suppliers are not required to be invited using a RFQ , however at least three (3) written quotes are still required to be obtained.
Over \$250,000	A formal RFT process must be followed in accordance with the Act and the Regulations subject to the exceptions in Regulation 11(2) and as set out within this policy.

**Purchasing exemptions under \$250,000**

The following exemptions where the Town is not required to undertake a competitive purchasing process and where the total value of the purchase does not exceed \$250,000 include:

- Emergency Purchases.
- Purchases where there is a sole source of supply.
- Services of WALGA and LGIS.
- Services of government entities including, but not limited to Federal, State, Local government entities, and Government Trading Enterprises (GTE's).
- Newspaper advertising (or online equivalent).
- Advance / Prior Payment of Services (for example: accommodation, travel services, entertainment, conferences, seminars, Memberships, Subscriptions, training courses).
- Annual Services / Software maintenance / Support Fees.
- Fuels and Oils.
- Provision of utility services.
- Reimbursements.
- Purchases for maintenance of equipment from Original Equipment Manufacturer (OEMs) and where warranty provisions may be void.
- Purchases of urgent or unique nature or where exceptional circumstances arise and it is considered in the best interest of the Town, an exemption may be granted by the CEO. When exercised Council is to be advised.

**Emergency Purchases**

An emergency purchase is defined as an unanticipated and unbudgeted purchase which is required in response to an emergency situation as provided for in the Act. An emergency purchase does not relate to purchases not planned due to time constraints.

**Sole Source of Supply**

Where the purchasing requirement is over the value of \$5,000 and of such a unique nature that it can only be supplied from one supplier, the purchase is permitted without the requirement to obtain quotes, undertake a tender or quotation process. This is only permitted in circumstances where the Town is satisfied and can provide evidence that there is only one source of supply for those goods, services or works. The Town must use its best endeavours to determine if the sole source of supply is genuine by exploring if there are any alternative sources of supply. Once determined, the justification for the Sole Source of Supply must be endorsed by the relevant Director, prior to a contract being entered into.

**Panels of Pre-qualified Suppliers**

The Town may consider creating a Panel of Pre-qualified Suppliers ("Panel") when a range of similar goods and services are required to be purchased on a continuing and regular basis and it is advantageous to use multiple suppliers. Should the Town determine that a Panel is beneficial to be created, it must do so in accordance with Part 4, Division 3 of the Regulations.

**Expressions of Interest**

Expressions of Interest (EOI) may be considered in situations where the project is of a significant value or contains significant complexity of project delivery that may solicit responses from a considerable range of industry providers. In these cases, the Town may conduct an EOI process, preliminary to any request for Tender process, where the procurement requirement is:

- Unable to be sufficiently scoped or specified;
- Open to multiple options for how the purchasing requirement may be obtained, specified, created or delivered;
- Subject to a creative element; or
- To establish a procurement methodology that allows for an assessment of a significant number of tenderers leading to a shortlisting process based on non-price assessment criteria.

EOI processes are to be conducted in line with Part 4, Division 2 of the Regulations.

**Purchasing Principles****Value for Money**

'Value for Money' is determined when the consideration of price, risk, timeliness, environmental, social and qualitative factors are assessed to determine the most advantageous outcome to be achieved for the Town.

The Town will apply value for money principles when assessing purchasing decisions and acknowledges the lowest price may not always be the most advantageous. Other factors including qualitative and risk criteria will also be given consideration into the decision.

An assessment of the best value for money outcome for any purchasing process should consider:

- All relevant Total Costs of Ownership ('TCO') and benefits including transactional costs associated with acquisition, delivery, distribution, as well as other costs such as but not limited to holding costs, consumables, deployment, maintenance and disposal.
- The technical merits of the goods or services being offered.
- Financial viability and capacity to supply without risk of default.
- A strong element of competition in the allocation of orders or the awarding of contracts.
- The safety requirements associated with both the product design and specification offered by suppliers and the evaluation of risk when considering purchasing goods and services from suppliers.

**Sustainable Procurement and Corporate Social Responsibility**

Where appropriate, the Town shall endeavour to provide an advantage to suppliers demonstrating that they minimise environmental and negative social impacts and embrace sustainable business practices and Corporate Social Responsibility. These considerations must be balanced against value for money outcomes.

**Anti-Avoidance**

The Town or its employees shall not, at any stage, seek to enter into two or more contracts or create



multiple purchase order transactions of a similar nature for the purpose of "splitting" the value of the purchase or contract in order to reduce the value of the consideration of the purchase below a particular purchasing threshold.

#### **Local Economic Benefit**

Under the State Government's Buy Local Policy, Government Agencies and Local Governments, including the Town, are encouraged to maximise participation of local and small businesses in the supply of goods, services and works. As much as practicable, the Town will:

- Where appropriate, consider buying practices, procedures and specifications that do not unfairly disadvantage local businesses.
- Consider indirect benefits that have flow on benefits for local suppliers (i.e. servicing and support).
- Ensure that procurement plans address local business capability and local content.
- Explore the capability of local businesses to meet requirements and ensure that Requests for Quotation and Tenders are designed to accommodate the capabilities of local businesses.
- Avoid bias in the design and specifications for Requests for Quotation and Tenders – all Requests must be structured to encourage local businesses to bid.
- Provide adequate and consistent information to potential suppliers.

#### **Legislation**

*Local Government Act 1995*

*Local Government (Functions and General) Regulations 1996*

*State Records Act 2000 (WA)*

#### **Relevant Procedures, Policies and Other Documents**

Purchasing Practice Guide

#### **Policy Adoption and Amendment History**

<b>Adopted/Reviewed/ Modified</b>	<b>Date of Meeting</b>	<b>Council Meeting Resolution Number</b>
Adopted	862/99	26/10/1999
Reviewed	536/03	16/12/2003
Reviewed	202/07	17/07/2007
Modified	210/10	05/10/2010
Modified	23/12	06/03/2012
Reviewed	360/13	10/12/2013
Reviewed	203/14	09/12/2014
Reviewed	226/15	15/12/2015
Modified	121/16	02/08/2016
Reviewed	206/16	13/12/2016
Modified	228/18	18/12/2018
Reviewed		

	<b>LG509 PURCHASING</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> Nil

#### Purpose

The ~~objectives-purpose~~ of this policy ~~are-is~~ to ~~demonstrate the Town of Claremont's (the Town)~~ commitment to ensuring that all purchasing activities:

1. ~~Achieve demonstrate that~~ best value for money ~~is attained for the Town.~~
2. ~~Are~~ compliant with ~~all~~ relevant ~~legislatio~~legislation and regulatory obligations~~n,s~~, including the Act and Regulations
3. ~~are recorded in compliance with the State Records Act 2000 and associated records management practices and procedures of the Town;~~
4. ~~3.~~ Mitigate probity risk, by establishing consistent and demonstrated administrative processes that promote ~~openness, transparency and~~ fairness, and equity to all potential suppliers;

#### Definitions

Act means the *Local Government Act 1995*.

Purchase Value Threshold means the actual or expected value of a contract over the full contract period, including any options.

Pre-qualified panel of suppliers includes a supplier approved through the WALGA preferred supply program or State Government CUA.

Regulations means the *Local Government (Functions and General) Regulations 1996*.

RFT means Request for Tender.

RFQ means Request for Quotation.

WALGA means Western Australian Local Government Association.

#### Policy

The Town is committed to delivering best practice in the purchasing of goods, services and works activities that aligns with the principles of transparency, probity and good governance, and compliance with the following principles; standards and behaviours must be observed and enforced through all stages of the purchasing process to ensure the fair and equitable treatment of all parties:

- All purchasing practices shall comply with all relevant legislation, regulations, and requirements
  - consistent with All Town's Policies and the Code of Conduct must be followed.
  - Purchasing is to be undertaken on a competitive basis where all potential suppliers are treated impartially, honestly and consistently.
  - Purchasing is to be carried out to deliver the most advantageous outcome for the Town.
  - Purchasing is to be carried out in accordance with approved budget provisions.
  - All processes, evaluations and decisions shall be transparent, free from bias, merit based and fully documented in accordance with applicable policies, practices and procedures, and audit requirements.
  - All Elected members and employees of the Town must act in an honest and professional manner at all times which supports the standing of the Town. Full accountability shall be taken by Elected Members and employees for all purchasing decisions, and the efficient, effective and proper expenditure of public monies based on achieving value for money.
  - Any actual or perceived conflicts of interest are to be identified, disclosed and appropriately managed.
  - With respect to RFQ and RFTs all employees are expected to demonstrate due diligence in seeking quotations. The number of quotations obtained, the contract conditions and level of evaluation required should be determined by having regard to the type and nature of the purchase and the associated risk, and not purely the purchase value as set out in the purchasing threshold table.
  - Employees must only undertake purchasing activities within their authorised limit.
- any information provided to the Town's by a supplier shall be treated as commercial in confidence and should not be released unless authorised by the supplier or relevant legislation.
- Procurement processes and practices to be complied with are defined within this Policy and Policy and the Town's prescribed procurement procedures.

#### Ethics and Integrity

##### Code of Conduct

All officers and employees of the Town undertaking purchasing activities must have regard for the Town Code of Conduct and its requirements and shall observe the highest standards of ethics and integrity.

#### Purchasing Thresholds and Practices

The table below prescribes the minimum purchasing process that the Town must be followed:

Purchase Value Threshold (excluding GST)	Purchasing Requirements
Up to \$1,000	Obtain at least one (1) oral or written quotation from a suitable supplier, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government Common Use Arrangement (CUA) or the open market.
Over \$1,000 and \$1,000 up to \$5,000	Obtain at least two oral or written quotation from a suitable supplier, either from a pre-qualified supplier on the WALGA Preferred Supply

	<p><del>Program or State Government CUA; or the open market.</del>  <del>Obtain at least <b>two one (2)</b> oral or written quotation, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government Common Use Arrangement (CUA);</del>  OR  <del>Obtain at least two oral or written quotations from a suitable supplier from the open market.</del></p>
Over \$5,000 and up to \$15,000	<p>Obtain at least <del>three two (2)</del> oral or written quotations from suppliers following <del>issue of</del> a brief outlining the specified requirement, <del>either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA; or the open market.</del></p>
Over \$15,000 and up to \$50,000	<p>Obtain at least <b>three (3)</b> written quotations from suppliers following <del>issue of</del> a brief outlining the specified requirement, <del>either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA; or the open market.</del></p>
Over \$50,000 and up to \$150,000	<p><del>A formal RFQ process must be followed in accordance with the Act and the Regulations.</del></p> <p><del>Obtain at least three (3) written quotations must be obtained,</del>  <del>from suppliers by formal invitation under a Request for Quotation, following issue of a Request for Quotation outlining the specified goods or services required, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA; or the open market, following completion of public advertising.</del>  <del>Submissions as received are to contain containing price and detailed response to the specification of goods and services as required. The procurement decision is to be based on pre-determined evaluation criteria that assesses all value for money considerations in accordance with the definition stated within this Policy.</del>  <del>Quotations within this threshold may be obtained from:</del>  <del>a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA; or</del>  <del>from the open market.</del>  <del>RFQ Requests for quotation from a pre-qualified panel of suppliers (whether administered through the WALGA preferred supply program or State Government CUA) are not required to be invited using a RFQ request for Quotation form, however at least three (3) written quotes are still required to be obtained.</del></p>

Over \$150,000	Where the purchasing requirement is not tender-exempt arrangement as listed under section 5.7 of this Policy, or any other relevant legislation, the Town is to conduct a public Request for Tender process in accordance with Part 4 of the Local Government (Functions and General) Regulations 1996, this Policy and the Town's relevant tender procedures. The procurement decision arising from this Request for Tender is to be based on pre-determined evaluation criteria that assesses all value for money considerations in accordance with the definitions as stated within this Policy.	Formatted: Font:
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Over \$250,000	A formal RFT process must be followed in accordance with the Act and the Regulations subject to the exceptions in Regulation 11(2) and as set out within this policy. Where the purchasing requirement is not tender-exempt arrangement as listed under section 5.7 of this Policy, or any other relevant legislation, the Town is to conduct a public Request for Tender process in accordance with Part 4 of the Local Government (Functions and General) Regulations 1996, this Policy and the Town's relevant tender procedures. The procurement decision arising from this Request for Tender is to be based on pre-determined evaluation criteria that assesses all value for money considerations in accordance with the definitions as stated within this Policy.
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#### Purchasing exemptions under \$250,000

The following exemptions where the Town is not required to undertake a competitive purchasing process and where the total value of the purchase does not exceed \$250,000 include:

- Emergency Purchases;
- Purchases where there is a sole source of supply;
- Services of WALGA and LGIS;
- Services of government entities including, but not limited to Federal, State, Local government entities, and Government Trading Enterprises (GTE's);
- Newspaper advertising (or online equivalent);
- Advance / Prior Payment of Services (for example: accommodation, travel services, entertainment, conferences, seminars, Memberships, Subscriptions, training courses);
- Annual Services / Software maintenance / Support Fees;
- Fuels and Oils;
- Provision of utility services;
- Reimbursements;



- Purchases for maintenance of equipment from Original Equipment Manufacturer (OEMs) and where warranty provisions may be void;
- Purchases of urgent or unique nature or where exceptional circumstances arise and it is considered in the best interest of the Town, an exemption may be granted by the CEO. When exercised Council is to be advised.

#### Emergency Purchases

An emergency purchase is defined as an unanticipated and unbudgeted purchase which is required in response to an emergency situation as provided for in the Act. In such instances, quotes and tenders are not required to be obtained prior to the purchase being undertaken.

An emergency purchase does not relate to purchases not planned due to time constraints. Every effort must be made to anticipate purchases required by the Town in advance and to allow sufficient time to obtain quotes and tenders, whichever may apply.

#### Sole Source of Supply

Where the purchasing requirement is over the value of \$5,000 and of such a unique nature that it can only be supplied from one supplier, the purchase is permitted without the requirement to obtain quotes, undertake a tender or quotation process. This is only permitted in circumstances where the Town is satisfied and can provide evidence that there is only one source of supply for those goods, services or works. The Town must use its best endeavours to determine if the sole source of supply is genuine by exploring if there are any alternative sources of supply. Once determined, the justification for the Sole Source of Supply must be endorsed by the relevant Director, prior to a contract being entered into.

#### 2.4 Preferred Supplier

The status of preferred suppliers will be subject to a non-exclusive Supply Agreement with a supplier who has demonstrated an ability to satisfy the Town's requirements, provides best value for money and appointment by the Town would be in the best interest of the Town. All Supply Agreements of \$20,000 or less per annum shall be approved by the relevant Director in accordance with their authorisation limit. Agreement greater than \$20,000 per annum must be approved in writing by the Chief Executive Officer.

#### Panels of Pre-qualified Suppliers

The Town may consider creating a Panel of Pre-qualified Suppliers ("Panel") when a range of similar goods and services are required to be purchased on a continuing and regular basis and it is advantageous to use multiple suppliers. Should the Town determine that a Panel is beneficial to be created, it must do so in accordance with Part 4, Division 3 of the Regulations.

#### Expressions of Interest

Expressions of Interest (EOI) may be considered in situations where the project is of a significant value or contains significant complexity of project delivery that may solicit responses from a considerable range of industry providers. In these cases, the Town may conduct an EOI process, preliminary to any request for Tender process, where the procurement requirement is:

- Unable to be sufficiently scoped or specified;

- Open to multiple options for how the purchasing requirement may be obtained, specified, created or delivered;
- Subject to a creative element; or
- To establish a procurement methodology that allows for an assessment of a significant number of tenderers leading to a shortlisting process based on non-price assessment criteria.

EOI processes are to be conducted in line with Part 4, Division 2 of the Regulations.

### Purchasing Principles

#### Value for Money

##### 1.1 Policy

'Value for Money' is determined when the consideration of price, risk, timeliness, environmental, social and qualitative factors ~~that~~ are assessed to determine the most advantageous outcome to be achieved for the Town.

The Town will apply value for money principles when assessing purchasing decisions and acknowledges the lowest price may not always be the most advantageous. Other factors including qualitative and risk criteria will also be given consideration into the decision. As such, purchasing decisions must be made with greater consideration than simply obtaining the lowest price, but must also to incorporate also incorporate qualitative and risk factors into the decision.

##### 1.2 1.3 Application

An assessment of the best value for money outcome for any purchasing process should consider:

- All relevant Total Costs of Ownership ('TCO') and benefits including transaction~~al~~ costs associated with acquisition, delivery, distribution, as well as other costs such as but not limited to holding costs, consumables, deployment, maintenance and disposal.
  - The technical merits of the goods or services being offered. ~~in terms of compliance with specifications, contractual terms and conditions and any relevant methods of assuring quality, including but not limited to an assessment of levels and currency of compliances, value adds offered, warranties, guarantees, repair and replacement policies, ease of inspection, ease of after sales service, ease of communications etc.~~
  - Financial viability and capacity to supply without risk of default. ~~(competency of the prospective suppliers in terms of managerial and technical capabilities and compliance history)~~
  - A strong element of competition in the allocation of orders or the awarding of contracts. ~~This is achieved by obtaining a sufficient number of competitive quotations wherever practicable~~
  - The safety requirements associated with both the product design and specification offered by suppliers and the evaluation of risk when considering purchasing goods and services from suppliers.
- ~~2. purchasing of goods and services from suppliers that demonstrate sustainable benefits and good corporate social responsibility, and~~  
~~providing opportunities for businesses within the Town's boundaries to be given the opportunity to quote for providing goods and services wherever possible.~~

#### Sustainable Procurement and Corporate Social ~~Responsible Directorate~~ Responsibility





Only the issuing of a purchase order number, other than payment by corporate purchase card, is confirmation that the purchase has been authorised by the Town of Claremont.

### 3.6 Other purchasing exemptions under \$250,000

The following exemptions where the Town is not required to undertake a competitive purchasing process (as detailed in 3.7 of this Policy) and where the total value of the purchase does not exceed \$250,000 include:

- Services of WATGA and LGIs;
- Services of government entities including, but not limited to Federal, State, Local government entities, and Government Trading Enterprises (GTE's);
- Where for various reasons it is considered in the best interest of the Town to undertake procurement activities which are not provided for by this policy, an officer may:
  - Recommend to the CEO reasons to undertake unique or urgent expenditure in accordance with relevant approved operating procedures;
  - CEO to evaluate the recommendation for unique and urgent expenditure in accordance with relevant approved operating procedures; and
  - Details of the procurement activity are to be reported to Council at the next available meeting;
- Advertising;
- Annual Memberships / Subscriptions;
- Annual Services / Software maintenance / Support Fees;
- Fuels and Oils;
- Provision of utility services; and
- Purchases for maintenance of equipment from Original Equipment Manufacturer (OEMs) and where warranty provisions may be void.
  - The raising of a purchase order does not apply to those circumstances where:
    - The acquisition of goods and services are obtained from a sole supplier;
    - The value of the goods and services is not possible to confirm until receipt of an invoice.
  - Examples of such circumstances include (but are not limited to):
    - Motor Vehicle licensing, registration and stamp duties
    - Postal charges (Australia Post);
    - Insurance excesses
    - Utility fees and charges
    - Where purchase by corporate purchasing card is not available, and reimbursement of expenses to officer is required
    - Refunds

### Local Economic Benefit

Under the State Government's Buy Local Policy, Government Agencies and Local Governments, including the Town, are encouraged to maximise participation of local and small businesses in the supply of goods, services and works. As much as practicable, the Town will:

- Where appropriate, consider buying practices, procedures and specifications that do not unfairly disadvantage local businesses.
- Consider indirect benefits that have flow on benefits for local suppliers (i.e. servicing and support).

- Ensure that procurement plans address local business capability and local content.
- Explore the capability of local businesses to meet requirements and ensure that Requests for Quotation and Tenders are designed to accommodate the capabilities of local businesses.
- Avoid bias in the design and specifications for Requests for Quotation and Tenders – all Requests must be structured to encourage local businesses to bid.
- Provide adequate and consistent information to potential suppliers.

#### Tendering Exemptions

An exemption to publicly invite tenders may apply in the following instances:

1. the purchase is obtained from a pre-qualified supplier under the WALGA Preferred Supply Program or State Government Common Use Arrangement
2. the purchase is from a Regional Local Government or another Local Government

Where the purchasing requirement is over the value of \$1,000 and of such a unique nature that it can only be supplied from one supplier, the purchase is permitted without the requirement to undertake a tender or quotation process. This is only permitted in circumstances where the Town is satisfied and can provide evidence that there is only one source of supply for those goods, services or works. The Town must use its best endeavours to determine if the sole source of supply is genuine by exploring if there are any alternative sources of supply. Once determined, the justification for the Sole Source of Supply must be endorsed by the relevant Director, prior to a contract being entered into.

From time to time, the Town may publicly invite an expression of interest to effectively determine that one sole source of supply still genuinely exists in respect to the provision of any good or service.

3. the purchase is acquired from a person registered on the WA Aboriginal Business Directory, as published by the Small Business Development Corporation, where the consideration under contract is worth \$250,000 or less and represents value for money.
  4. the purchase is acquired from an Australian Disability Enterprise and represents value for money.
- ~~2.2 if any of the other exclusions under Regulation 11 of the Regulations apply.~~  
~~3.8 Inviting Tenders Under the Tender Threshold~~
- ~~2.3 Where considered appropriate and beneficial, the Town may consider publicly advertising Tenders in lieu of undertaking a Request for Quotation for purchases under the tender threshold. This decision should be made after considering the benefits of this approach in comparison with the costs, risks, and timeliness of the outcome and compliance requirements and also whether the purchasing requirement can be met through the WALGA Preferred Supply Program or State Government CUA.~~
- ~~2.4 If a decision is made to undertake a public Tender for contracts expected to be~~

*To this extent, a qualitative weighting may be afforded in the evaluation of quotes and tenders where suppliers are located within the boundaries of the Town, or substantially demonstrate a benefit or contribution to the local economy.*

#### **4. Purchasing From Disability Enterprises**

*Pursuant to Part 4 of the Local Government (Functions and General) Regulations 1996, the Town is not required to publicly invite tenders if the goods or services are to be supplied from an Australian Disability Enterprise, as registered on. This is contingent on the demonstration of value for money.*

*Where possible, Australian Disability Enterprises are to be invited to quote for supplying goods and services under the tender threshold. A qualitative weighting may be afforded in the evaluation of quotes and tenders to provide advantages to Australian Disability Enterprises.*

#### **5. Purchasing From Aboriginal Businesses**

*Pursuant to Part 4 of the Local Government (Functions and General) Regulations 1996, the Town is not required to publicly invite tenders if the goods or services are to be supplied from a person registered on the Aboriginal Business Directory published by the Small Business Development Corporation on where the expected consideration under contract is worth*

*\$250,000 or less. This is contingent on the demonstration of value for money.*

*Where possible, Aboriginal businesses are to be invited to quote for supplying goods and services under the tender threshold. A qualitative weighting may be afforded in the evaluation of quotes and tenders to provide advantages to Aboriginal-owned businesses, or businesses that demonstrate a high level of aboriginal employment.* [Legislation](#)

Local Government Act 1995

Local Government (Functions and General) Regulations 1996

State Records Act 2000 (WA)

#### **Relevant Procedures, Policies and Other Documents**

Purchasing Practice Guide

#### **Policy Adoption and Amendment History**

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted	862/99	26/10/1999
Reviewed	536/03	16/12/2003
Reviewed	202/07	17/07/2007
Modified	210/10	05/10/2010
Modified	23/12	06/03/2012
Reviewed	360/13	10/12/2013
Reviewed	203/14	09/12/2014
Reviewed	226/15	15/12/2015
Modified	121/16	02/08/2016
Reviewed	206/16	13/12/2016
Modified	228/18	18/12/2018
Reviewed		

	<b>LG530</b> <b>Bank Accounts and Payments</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> DA9 Payment of Accounts

### Purpose

The purpose of this policy is to:

1. Ensure the Town of Claremont (the Town) is compliant with the Local Government Act 1995 by maintaining which requires the operation of separate bank accounts for monies held in the Municipal Fund, Trust Fund and in the Reserve Fund. Reserve Accounts.
2. Provide guidance on the opening and management of all bank accounts.

### Policy

With respect to the Municipal Fund (Municipal Account and Reserve Account) and Trust Fund (Trust Account) which are required to be maintained:

1. Two signatories are required for all payments, (cheques or electronic funds transfer) ~~from the above Bank Accounts~~. The signatories ~~for the above accounts~~ shall be:
  - a. Chief Executive Officer (CEO),
  - a-b. Any member of the Executive team, including Director Governance and People (DGP),  
Director Infrastructure (DI) and Director Planning and Development (DPD)  
Director Corporate and Governance (EMCG)  
Director People and Places
  - b-c. Manager Finance (MF); and/or
  - c-d. Other officers authorised in writing by the Chief Executive Officer.
2. The following limits are established in respect of ~~cheque~~ signatories:

<u>Amount for a single vendor or a single invoice (whichever is higher)</u>	Primary Signatory	Secondary Signatory
---	-------------------	---------------------



Up to \$75,000	DCG, MF	DPP, DI, DPD
\$75,000- <u>Up</u> to \$150,000	DCG MF, CEO	DPP, DI, DPD, MF DGP, DI, DPD
Greater than \$150,000	CEO	DCG, DPP, DI, DPD, MF DGP, DI, DPD, MF

~~Any officer with a higher authorisation limit can sign for a lesser amount.~~

~~In the absence, or non-availability, of an officer with a higher authorisation limit, an officer with the next highest limit is authorised to sign.~~

3. Any officers nominated in writing by the Chief Executive Officer to act in the position of an authorised signatory are eligible to sign for payments in accordance with that position. This includes a Director acting as Chief Executive Officer.

3.4. Electronic Funds Transfer (EFT) Payments may be used as follows:

- a. Municipal Account. For the payment of supplier invoices for goods and services received, payroll, transfer to Reserve accounts, refund of bonds, and investment of funds in accordance with Council's-Town's Investment Policy LG511.
- b. Trust Account. For refund of bonds or deposits held in trust, and investment of funds in accordance with Council's-Town's Investment Policy.
- c. Reserve Account. For investment of funds in accordance with Council's-Town's Investment Policy and transfer to the Municipal account.

## **Payments**

### Weekly Cheque or Electronic Fund Transfer (EFT) Production

~~A cheque or EFT production run will be performed weekly, or as required for the payment of all accounts.~~

### Credit Card

~~The Chief Executive Officer and other officers nominated in writing by the Chief Executive Officer are authorised to make credit card payments direct from the Municipal Account in accordance with Council's Town's Corporate Credit Card Policy LG512.~~

## **Presentation of Accounts**

4.5. A list of all payments ~~made will be prepared~~ and submitted to Council ~~meeting~~ each month at an Ordinary Council Meeting showing for each account paid in that month, details such as the payee's name, amount of the payment, date of the payment, sufficient information to identify the transaction, and the account from which the payment is made.

### Legislation

*Local Government Act 1995*, Section 5.42 and sections 6.6 – 6.11

### Relevant Procedures, Policies and Other Documents

[Accounts payable procedure](#)

[Payment listing and report procedure](#)

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting
		Resolution Number
Adopted	164/16	18/10/16
Reviewed	206/16	13/12/2016
Reviewed	228/18	18/12/2018
Reviewed		





**7 OTHER BUSINESS**

**8 NEW BUSINESS OF AN URGENT NATURE APPROVED BY THE PRESIDING PERSON OR BY DECISION OF MEETING**

**9 FUTURE MEETINGS OF COMMITTEE**

To be advised.

**10 DECLARATION OF CLOSURE OF MEETING**

There being no further business, the presiding member declared the meeting closed at 8.32am.

.....

**CHAIRPERSON**

## **12.2 CLAREMONT TOWN CENTRE ADVISORY COMMITTEE**

### **12.2.1 MINUTES OF THE CLAREMONT TOWN CENTRE ADVISORY COMMITTEE MEETING HELD ON 8 DECEMBER 2020**

**File Number:** GOV/00048-03, D-20-09755

**Author:** Danielle Hadley, Business Development Officer

**Authoriser:** Liz Ledger, Chief Executive Officer

**Attachments:** 1. Claremont Town Centre Advisory Committee 2020 Dec 08 Minutes - Attachments [↓](#) 

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### **OFFICER RECOMMENDATION**

1. That the Minutes of the Claremont Town Centre Advisory Committee Meeting held on 8 December 2020 be received and the recommendations therein be adopted.



# **MINUTES**

## **Claremont Town Centre Advisory Committee Meeting Tuesday, 8 December 2020**

**Date:** Tuesday, 8 December 2020

**Time:** 5.00pm

**Location:** Town of Claremont  
Claremont Council Chambers  
308 Stirling Highway, Claremont

**Liz Ledger  
Chief Executive Officer**

**DISCLAIMER**

Persons present at this meeting are cautioned against taking any action as a result of any Committee recommendations until such time as those recommendations have been considered by Council and the minutes of that Council meeting confirmed.

**Order Of Business**

<b>1</b>	<b>Declaration of Opening / Announcement of Visitors.....</b>	<b>4</b>
<b>2</b>	<b>Record of Attendance / Apologies.....</b>	<b>4</b>
<b>3</b>	<b>Disclosure of Interests .....</b>	<b>4</b>
<b>4</b>	<b>Confirmation of Minutes of Previous Meeting .....</b>	<b>4</b>
<b>5</b>	<b>Presentation.....</b>	<b>5</b>
<b>6</b>	<b>Reports of the CEO.....</b>	<b>6</b>
6.1	Claremont Town Centre Operational Plan Quarterly Update July to September 2020.....	6
<b>7</b>	<b>Other Business .....</b>	<b>19</b>
<b>8</b>	<b>New Business of an Urgent Nature Approved by the Presiding Person or by Decision of Meeting.....</b>	<b>19</b>
<b>9</b>	<b>Future Meetings of Committee.....</b>	<b>19</b>
<b>10</b>	<b>Declaration of Closure of Meeting .....</b>	<b>19</b>

**MINUTES OF TOWN OF CLAREMONT  
CLAREMONT TOWN CENTRE ADVISORY COMMITTEE MEETING  
HELD AT THE TOWN OF CLAREMONT, CLAREMONT COUNCIL CHAMBERS, 308 STIRLING  
HIGHWAY, CLAREMONT  
ON TUESDAY, 8 DECEMBER 2020 AT 5.00PM**

**1 DECLARATION OF OPENING / ANNOUNCEMENT OF VISITORS**

Cr Suann, Chair, welcomed members of the Committee, staff and Councillors and declared the meeting open at 5.04pm.

**2 RECORD OF ATTENDANCE / APOLOGIES**

**PRESENT:**

Deputy Mayor Cr Jill Goetze

Cr Annette Suann

Business Representative Hannah Etherington

Business Representative Michelle Docherty

Business Representative Lesley Thomas

Chief Executive Officer Liz Ledger

**IN ATTENDANCE:**

Amanda Bryant (Manager Community Engagement)

Danielle Hadley (Business Development Officer)

**APOLOGIES:**

Mayor Jock Barker

Business Representative Scott Greenwood

Business Representative Eleanor Jones

**LEAVE OF ABSENCE:**

Nil

**3 DISCLOSURE OF INTERESTS**

Nil

**4 CONFIRMATION OF MINUTES OF PREVIOUS MEETING**

**COMMITTEE RESOLUTION 010/20**

**Moved: Michelle Docherty**

**Seconded: Liz Ledger**

**That the minutes of the Claremont Town Centre Advisory Committee Meeting held on 8 September 2020 be confirmed.**

**CARRIED**

**5 PRESENTATION**

Nil

## 6 REPORTS OF THE CEO

### 6.1 CLAREMONT TOWN CENTRE OPERATIONAL PLAN QUARTERLY UPDATE JULY TO SEPTEMBER 2020

**File Number:** GOV/00048-03, D-20-44776  
**Author:** Danielle Hadley, Business Development Officer  
Amanda Bryant, Manager Community Engagement  
**Authoriser:** Liz Ledger, Chief Executive Officer  
**Attachments:** 1. The Great Claremont Treasure Hunt Project Evaluation Report

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#### PURPOSE

To provide a quarterly update for activities carried out during the July to September 2020 quarter for the Claremont Town Centre (CTC) project.

#### BACKGROUND

Activities for the July to September quarter were limited as WA followed the roadmap out of COVID-19 and the Business Development Officer role was vacant.

The Business Development Officer (BDO) role was filled in October 2020 with the appointment of Danielle Hadley. Danielle's extensive communications, project management and client relationship background made her the standout candidate for the role. Danielle works Tues, Wed and Thursdays.

#### DISCUSSION

In line with the 2020-21 Operational Plan, the following has been undertaken to assist businesses as they regain some stability and adjust to the enduring impacts of the pandemic.

#### Goal - Create Interest

##### 1. The Great Claremont Treasure Hunt

On Tuesday 6 October and Wednesday 7 October, Claremont Town Centre hosted The Great Claremont Treasure Hunt. The event was developed by Officers to encourage young families into Claremont during school holidays, while considering the COVID regulations.

The event was well received by attendees and retailers. Please refer to Attachment 1: Project Evaluation Report.

##### 2. 12 Days of Christmas Window Artwalk

The *12 Days of Christmas Window Artwalk* is planned for 1 – 30 December. Ten local artists will transform twelve shop windows with art installations inspired by Christmas nostalgia. Marketing collateral developed for The 12 Days project will be presented at the meeting.

Participating traders are:

- Valentini Exclusive Shoes
- Sana Boutique
- Pronto Butcher
- Monde
- Cultstatus
- La Lucca
- The Lane Bookshop



- Mosh & Jolly
- Majestic Persian Carpets
- Little Leisure
- Dymocks Claremont
- The Giving Tree

A launch event will take place on Saturday 5 December with family-friendly activations, provided by Town of Claremont and several of the traders, for families to enjoy along the Window Artwalk. These include face-painting, Christmas arts and craft, roving entertainers, giveaways, a sausage sizzle and performances from the Claremont Concert Band.

### 3. Sustainable Clothing Store

The Town's Officers have partnered with Anglicare to develop a new attraction to the town centre; a Sustainability Clothing Store. Working collaboratively, a free space was negotiated with property owner JJ Leach for Anglicare to manage. The space at 18 Bay View Terrace (rear) has been donated for a maximum 6 month period.

The shop will be called 'Lemon Tree Pop Up' with the tag line 'Preloved clothing proudly supporting Anglicare'. It will sell pre-loved, quality fashion. The Town is developing the artwork and branding for the shop, while Anglicare will staff and manage the shop, with profits going to support their Young Hearts child counselling service. Promotion of the project will be led by Town of Claremont using paid, owned and earned media to drive traffic to Claremont Town Centre.

Creative concepts for the Sustainability Store will be presented at the meeting for the committee's feedback. This will include the store name, logo and visual identity.

### 4. School Holiday Activation

Following on from the popularity and outcomes of the Great Claremont Treasure Hunt, a second activation in the Town Centre is being planned for the April school holidays, beginning with Good Friday on 2 April. CTCAC members are welcome to provide suggestions on the direction this activity should take. The Town's Officers will begin planning this activity in the New Year.

### 5. Little Libraries

Little Libraries are located outside Speedfit, Grill'd, Claremont Tableware, Toyworld and Mosh & Jolly. Town of Claremont Library refreshes the stock as required. The condition of the Little Libraries is currently being reviewed.

## **Goal - Create Awareness**

### Marketing

A 'Christmas in Claremont' radio campaign is being developed by Town of Claremont to promote events happening in Claremont during December. The campaign will run on Mix94.5 and Hit92.9 from 30 November to 20 December. This will include recorded commercials and live crosses from the street team to drive shoppers to CTC.

The 12 Days of Christmas activation will be promoted via owned and paid social media, online event listings, planter boxes and LED screens on Bay View Terrace and signage within Claremont Quarter. Earned media will also be sought through a media release profiling artists and a photo opportunity. Booklets profiling artists and retailers will be available throughout the town centre. This collateral will be presented at the meeting.

A social media content plan will be developed for the CTC Facebook and Instagram accounts from November to February. This will include profiles of traders and artists involved in 12 Days of Christmas project, a teaser campaign for the sustainability store project and using the 'Discover Claremont' brand, profiles of the people and places within the Town Centre.

The January edition of Flourish will include a double page feature profiling traders in Avion Way (Times Square).

The Claremont Town Centre website is currently under review. The website can be viewed at [www.claremonttowncentre.com.au](http://www.claremonttowncentre.com.au) Feedback on the CTC website from CTCAC members is encouraged and stakeholders will be consulted to ascertain the best way forward for digital media to support CTC businesses. A recommendation will be made regarding this at the next CTCAC meeting.

## **Goal - Create Partnerships**

### 1. Direct Business Liaison

The BDO has conducted face-to-face meeting with several businesses to gain feedback and sentiment ahead of the Christmas period. Feedback received so far has been mostly positive with most expecting a busy trading period ahead.

Monthly e-newsletters to CTC traders will recommence from November.

### 2. Business Support and Training

Discussions with the Small Business Development Corporation have continued and they plan to deliver digital marketing workshops for interested CTC businesses in February 2021. The topic of these workshops will cover four topics: digital marketing essentials (for those with limited digital marketing knowledge); creative content; social media advertising and creating graphics with Canva. An expression of interest will be circulated to CTC businesses. Claremont Hub (above Cos) have offered their space to host the workshops.

### 3. New Business Support

Discussions with JJ Leach in regards to his space called the Claremont Hub (shared office space for start-ups) commenced, with the Officers looking at ways of promoting this space to encourage new businesses and emerging businesses into Claremont. The Hub is looking to run a series of events to promote and attract entrepreneurship to the Town of Claremont. Once a proposal is received sponsorship of this events series will be evaluated and considered.

### 4. Claremont Quarter

The Town's Officers continue to work in partnership with Claremont Quarter (CQ). CQ have supported the promotion of Town events on their internal assets such as digital signage and posters. CQ have also been assisting with coordination of the installation schedules and launch event for The 12 Days of Christmas. The BDO will continue to maintain regular communication with CQ's Marketing Manager and develop further ways of working together in the New Year.

### 5. CTC Business Grants

An eDM has gone to all CTC Businesses promoting the availability of business grants. Grants of up to \$1,000 are available to businesses within the CTC in order to support initiatives and projects that provide social, cultural, and economic benefits to the town.

## **Goal - Create Comfort**

### Maude Jackson Laneway

The rejuvenation of Maude Jackson Laneway is in development. Painting, refurbishment of the existing steel structure and installation of new signage is currently being scoped for the first quarter of 2021.

**Town Centre Safety**

The Town Centre is monitored by the Town's CCTV cameras combined with the monthly police crime statistics and our security patrols. Over the past 2 month period, there has been some antisocial behaviour at night in St Quentin's Avenue. The Town is planning on extending the CCTV network in this area to assist Police. We did continue to receive requests from the Police for footage over this period, for the above and also some incidents of theft during the day

**PAST RESOLUTIONS**

Claremont Town Centre Advisory Committee 8 September 2020.

**FINANCIAL AND STAFF IMPLICATIONS**

Resource requirements are in accordance with existing budgetary allocation.

**POLICY AND STATUTORY IMPLICATIONS**

N/A.

**COMMUNICATION / CONSULTATION**

Please refer to **Goal Create Partnerships** - Direct Business Liaison.

**STRATEGIC COMMUNITY PLAN****Local Prosperity**

*Our businesses are thriving and integrated into the life of the Claremont community, and the town centre is known as the premier visitor destination.*

- Plan for the development of attractive and thriving activity nodes to support small local business.
- Support new and existing local small business and entrepreneurial activity.
- Raise profile of the Claremont Town Centre as a visitor destination.

**URGENCY**

N/A.

**VOTING REQUIREMENTS**

Simple Majority decision of Council (*More than half the elected members present are required to vote in favour*).

**COMMITTEE RESOLUTION 011/20**

**Moved:** Hannah Etherington

**Seconded:** Lesley Thomas

**That the Claremont Town Centre Advisory Committee:**

- I. Receive the Claremont Town Centre quarterly update July to September 2020.
- II. Supports a review of the website including consulting with stakeholders to ascertain the best way forward for digital media to support the businesses.
- III. Advises on the preferred option for the concept design for the Lemon Tree Pop Up Clothing Shop. Committee approved Logo concept A, shop branding 1.

**CARRIED**



# PROJECT EVALUATION

The Great Claremont Treasure Hunt

## SUMMARY

Across Tuesday 6th October and Wednesday 7th October 2020, Claremont was transformed into a land of Pirates in a quest to find treasure.

The Great Claremont Treasure Hunt was developed by the Town of Claremont to provide support for the local businesses and also create a community event for families in Claremont and beyond.

Community Development  
2020

## Contents

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Project Specific Measurable Outcomes .....	3
Incidents .....	3
Marketing Outline.....	4
Successes .....	4
Challenges .....	5
Feedback .....	6
Recommendations .....	8

# Event Evaluation

## General Information

**Event name:** The Great Claremont Treasure Hunt 2020

**Date & Time:** Tuesday 6 October & Wednesday 7 October, 9am-3pm WST

**Location:** Claremont Town Centre

**Council Budget:** \$10,000

**Grants, Sponsorships & Other Income:** N/A

**Actual Budget (with explanation of outliers)**

Total Budget: \$10,000

- Cost: \$8,226.65

ITEM	QTY	ESTIMATED COST	ACTUAL
<b>Pirate Items</b>			
Pirate Hats and stamps for the locations	14	\$160.00	\$130.00
Pirate eye patches	1000	\$600.00	\$574.15
Pirate Treasure Chest	2	\$300.00	\$235.00
Pirate costumes for photo	2		\$114.19
Treasure map design and print	1000	\$500.00	\$300.00
<b>Prizing</b>			
Treasure (lucky dip prizing)	1000	\$2,000.00	\$2,000.00
Paper bags for lucky dips	1000	\$80.00	\$75.52
Chocolate coins	1000	\$580.00	
Barrel	1	\$150.00	\$207.00
<b>Signage</b>			
Social Media boosts		\$500.00	\$200.00
Planter box signage	20	\$800.00	\$795.00
Posters	1 pk		\$19.95
The Post Advert	1	\$695.00	
Banners	3	\$300.00	
Corflute 'collect treasure here'	1	\$50.00	\$55.00
Photo frame corflute	1	\$300.00	
<b>Event Day add ons</b>			
Pirate people		\$1,440.00	\$1,650.00

Hand Sanitiser station		\$180.00	\$200.86
Pens			
Videographer	1	\$1,500.00	
Craft supplies for Library			\$79.98
<b>Pirate Ship</b>			
Bouncy pirate ship - supervision inclusive		\$1,600.00	\$1,590.00
Pirate ship prop for Library - repaint and new sail		\$200.00	
Contingency / Other			
<b>TOTAL</b>		<b>\$11,935.00</b>	<b>\$8,226.65</b>

Objectives of Project (if stated pre-project)

- Support business within Claremont Town Centre
- To unite the Claremont community in a social, family-friendly outdoor environment
- Create a sense of community connection
- Increase visitors to the town

Target Audience

- Primary – Claremont residents
- Secondary – Western Suburbs residents

Attendance

ATTENDANCE FIGURES	
Attendance Goal:	500-1000
Actual Estimated Attendance:	500-700 across the 2 days

## Project Specific Measurable Outcomes

Key Measurable Indicators

- 308 completed entry forms to the major prize draw
- Verbal and written feedback by ToC management/staff, CTC business's and community feedback

## Incidents

N/A

## Marketing Outline

Hard copy	A3 Posters x 500 Planter box decals x 20	
		MEASUREMENTS
Social media (Facebook and Instagram)	Total social media budget: \$200 Facebook event Boost - \$200 Facebook events (2 days) Facebook posts x 3 <ul style="list-style-type: none"> <li>- October 6 (event day)</li> <li>- October 1</li> <li>- September 26</li> </ul> TOC Instagram posts x 4 <ul style="list-style-type: none"> <li>- October 6</li> <li>- September 30</li> <li>- September 22</li> <li>- September 14</li> </ul> CTC Instagram posts x 2 <ul style="list-style-type: none"> <li>- September 30</li> <li>- October 6</li> </ul> TOC Instagram stories on event day CTC Instagram stories on event day	9.8k reach / 393 Event responses 15.3k Reach / 624 Event responses  634 reach / 53 Engagement 132 Reach / 25 Engagement 267 reach / 8 Engagement  264 Reach / 12 interactions 326 Reach / 5 interactions 403 Reach / 7 interactions 285 Reach / 11 interactions  306 Reach / 3 interactions 273 Reach / 2 interactions  120 Reach 66 Reach
Newspaper advertisement	1 x story pick up in The Post 1 x story pick up in Western Suburbs Weekly 1 x Mayoral Column in The Post 1 x Mayoral Column in Western Suburbs Weekly	
ToC	Website listing Landing page hero image	

## Successes

- Very busy (retailers didn't expect how busy it would be)
- Good engagement from retailers
- Pirate Ship was a great attraction
- Major Draw was a good added bonus
- Lucky dip prizing were a good balance of items and everyone seemed happy with what they got
- Bump in/out were efficient and easy
- All suppliers and Claremont Quarter were great to deal with
- Everything ran smoothly
- Communication between team was great
- TOC staff all helped and created a team effort



- Roaming Pirates were a great addition and remained in character
- Good space at Claremont square to work with/in
- Library Pirate Hat station was a huge hit (activity for the kids)
- Retailers also adding different elements (giving away chocolate treasure / colouring in comp etc)
- Hand Sanitiser was good for covid safe plan
- Parents feedback was very positive throughout the day (Lots of photos being taken)
- Claremont Quarter provided a vacant space for us to store items in during the day and overnight
- CQ security were great to work with when we needed access into room

## Challenges

- Toyworld were a little difficult at the beginning, as they wanted control. But eased up later and were great to work with
- Getting responses from the retailers (initial stages / taking part and through out communication)
- Didn't expect to be so busy at times, limited resources (staff) on the day to interact aswell as take entry forms, lucky dip and manage event
- Weather – was hot. Tried to stay under the shade umbrellas but was difficult to move everything
- Treasure Chest barrel was heavy! Needed 2 people to carry and or a truck for long distances (looked great though)
- Could look at taking additional tables for people to complete entry form
- People wanted to keep their map which had the map on the back
- Some queue's at the bouncy castle, especially when needing to clean
- Business's thought it didn't really provide any sales for them – kids were too quick to get their stamp and go
- Converting people in store to a purchasing buyer
- Targeting specific business's relevant to activity
- Business's not being away of activity – to participate or general knowledge on the day
- No having a BDM during this time for liaison

## Feedback

### Survey Results

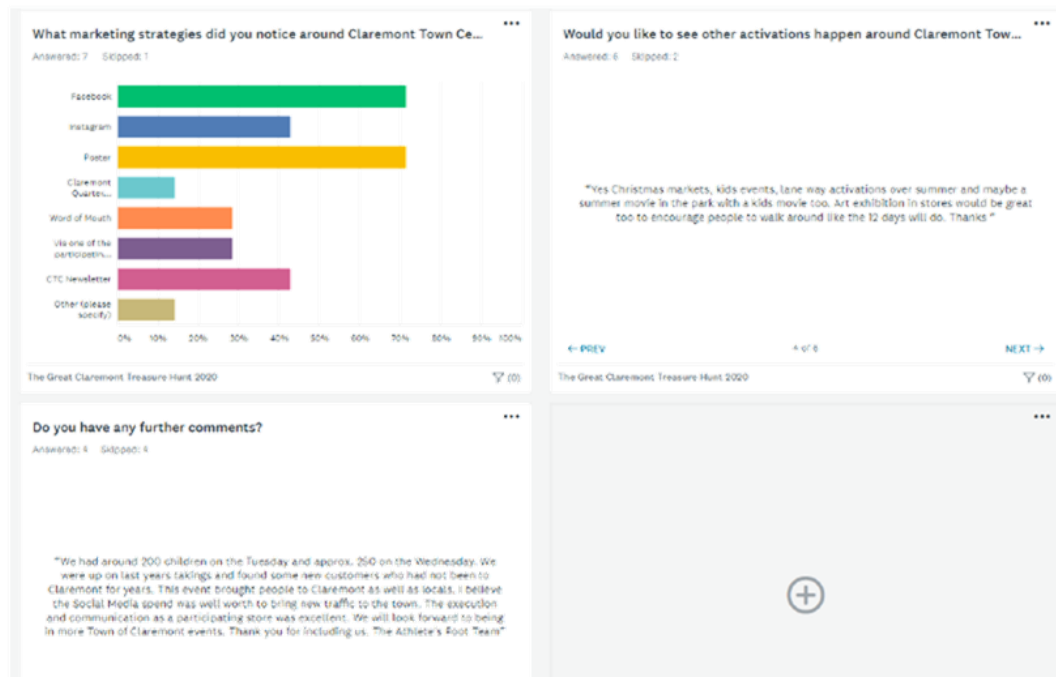
Overall we had 6 responses to the survey which was sent to CTC businesses. The event was rated excellent with 2 responses were participants in the event and 4 business's did not participate.

3 out of those 4 businesses who did not participate stated they did not receive any communication about the activity.

Social media, posters and the CTC newsletter were the main strategies that respondents noticed.

All respondents would like to see other activations happen around CTC and have suggested markets, food related activities and kids events.





## Community

**From:** Kylie Frazer  
**Sent:** Tuesday, 13 October 2020 10:39 AM  
**To:** Rachel Mazza <[rmazza@claremont.wa.gov.au](mailto:rmazza@claremont.wa.gov.au)>  
**Subject:** Treasure Hunt

Hi Rachel,

I had Sheena Pearce from 16 Senate Street come to counter and wanted to let Town know how impressed she was with the organising of the Treasure Hunt.

She said the businesses involved were great and the Town staff are a credit to the Town.

It was a fun event for the kids and well organised.

Kind regards

**Kylie Frazer**  
**Customer Relations Officer**

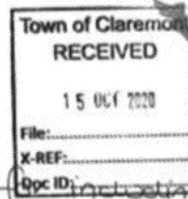
Number One Claremont  
 308 Stirling Highway, Claremont, WA 6010  
 PO Box 54, Claremont, WA, 6910  
 ph +61 8 9285 4300  
[www.claremont.wa.gov.au](http://www.claremont.wa.gov.au)

## Business Participants

October 2020

Dear Jessica &amp; Team

Thank you so much for ~~inducting~~ our store in  
The Great Claremont Treasure Hunt! We had a great  
time & will look forward to the next event.  
Warm regards Lichelle & Team xx



## The Athlete's Foot

P (08) 9384 7980  
E tofclaremont@westfoot.com.au  
Shop 220, Claremont Quarter,  
theathletesfoot.com.au



Thu 8/10/2020 10:59 AM

Claremont Chemist Buyer &lt;buyer@claremontchemist.com.au&gt;

Claremont Pirate treasure hunt day

To: Jessica Mzungu

Cc: Claremont Chemist Dispensary

Click here to download pictures. To help protect your privacy, Outlook prevented automatic download of some pictures in this message.

Hi Jessica,

We would like to thank and congratulate you and your team on organising such a successful day for The Great Claremont Treasure Hunt.

We really appreciate the opportunity that you created and provided for us. It was a wonderful event to be involved in and you created a real buzz!

We have uploaded a few pics to our Instagram on advantagepharmacyclaremont; have a look if you're interested.

Kind regards,

Dan, Anh, Hollie and the Advantage Pharmacy Claremont team.

Advantage Pharmacy Claremont WA



20 Bay View Terrace, Claremont W.A 6010

Ph: (08) 9383 3311 | Fax: (08) 9383 3055

## Recommendations

- Look at adding a food element
- Adding in other activities (face painting etc)
- More tables for entering major draw
- Make entry forms digital – using a laptop
- Asking Academy have a coffee cart outside

## **7 OTHER BUSINESS**

### April School Holiday Activation

The opportunity for members of the Committee to share ideas for the April School Holiday activation within Claremont Town Centre was discussed. Committee members can share any ideas with the Business Development Officer via email. The team will begin planning this activity in the new year.

### Safety

Business Representative Lesley Thomas shared concerns in regards to homelessness, including anti-social behavior and vandalism (broken toilet), in the laneway (called 'secret lane') behind Old Theatre Lane for the past five months. This laneway is privately owned and is used for parking and to service the stores in Old Theatre Lane. A solution may be found by putting a gate at the end of secret lane. Town of Claremont Officers will contact the Strata management to discuss possible solutions.

## **8 NEW BUSINESS OF AN URGENT NATURE APPROVED BY THE PRESIDING PERSON OR BY DECISION OF MEETING**

## **9 FUTURE MEETINGS OF COMMITTEE**

The next Claremont Town Centre Advisory Committee Meeting are proposed to be held on the following dates:

Tuesday, 9 March 2021 at 5:00pm

Tuesday, 8 June 2021 at 5:00pm

Tuesday, 14 September 2021 at 5:00pm

Tuesday, 7 December 2021 at 5:00pm

## **10 DECLARATION OF CLOSURE OF MEETING**

There being no further business, the presiding member declared the meeting closed at 6.04pm.

.....  
**CHAIRPERSON**



# **MINUTES**

## **Claremont Town Centre Advisory Committee Meeting Tuesday, 8 December 2020**

**Date:** Tuesday, 8 December 2020

**Time:** 5.00pm

**Location:** Town of Claremont  
Claremont Council Chambers  
308 Stirling Highway, Claremont

**Liz Ledger  
Chief Executive Officer**

**DISCLAIMER**

Persons present at this meeting are cautioned against taking any action as a result of any Committee recommendations until such time as those recommendations have been considered by Council and the minutes of that Council meeting confirmed.

**Order Of Business**

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**MINUTES OF TOWN OF CLAREMONT CENTRE ADVISORY COMMITTEE MEETING  
HELD AT THE TOWN OF CLAREMONT, CLAREMONT COUNCIL CHAMBERS, 308 STIRLING  
HIGHWAY, CLAREMONT  
ON TUESDAY, 8 DECEMBER 2020 AT 5.00PM**

**1 DECLARATION OF OPENING / ANNOUNCEMENT OF VISITORS**

Cr Suann, Chair, welcomed members of the Committee, staff and Councillors and declared the meeting open at 5.04pm.

**2 RECORD OF ATTENDANCE / APOLOGIES**

**PRESENT:**

Deputy Mayor Cr Jill Goetze

Cr Annette Suann

Business Representative Hannah Etherington

Business Representative Michelle Docherty

Business Representative Lesley Thomas

Chief Executive Officer Liz Ledger

**IN ATTENDANCE:**

Amanda Bryant (Manager Community Engagement)

Danielle Hadley (Business Development Officer)

**APOLOGIES:**

Mayor Jock Barker

Business Representative Scott Greenwood

Business Representative Eleanor Jones

**LEAVE OF ABSENCE:**

Nil

**3 DISCLOSURE OF INTERESTS**

Nil

**4 CONFIRMATION OF MINUTES OF PREVIOUS MEETING**

**COMMITTEE RESOLUTION 010/20**

**Moved: Michelle Docherty**

**Seconded: Liz Ledger**

**That the minutes of the Claremont Town Centre Advisory Committee Meeting held on 8 September 2020 be confirmed.**

**CARRIED**

**5 PRESENTATION**

Nil

## **6 REPORTS OF THE CEO**

### **6.1 CLAREMONT TOWN CENTRE OPERATIONAL PLAN QUARTERLY UPDATE JULY TO SEPTEMBER 2020**

**File Number:** GOV/00048-03, D-20-44776

**Author:** Danielle Hadley, Business Development Officer  
Amanda Bryant, Manager Community Engagement

**Authoriser:** Liz Ledger, Chief Executive Officer

**Attachments:** 1. The Great Claremont Treasure Hunt Project Evaluation Report

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#### **PURPOSE**

To provide a quarterly update for activities carried out during the July to September 2020 quarter for the Claremont Town Centre (CTC) project.

#### **BACKGROUND**

Activities for the July to September quarter were limited as WA followed the roadmap out of COVID-19 and the Business Development Officer role was vacant.

The Business Development Officer (BDO) role was filled in October 2020 with the appointment of Danielle Hadley. Danielle's extensive communications, project management and client relationship background made her the standout candidate for the role. Danielle works Tues, Wed and Thursdays.

#### **DISCUSSION**

In line with the 2020-21 Operational Plan, the following has been undertaken to assist businesses as they regain some stability and adjust to the enduring impacts of the pandemic.

#### **Goal - Create Interest**

##### 1. The Great Claremont Treasure Hunt

On Tuesday 6 October and Wednesday 7 October, Claremont Town Centre hosted The Great Claremont Treasure Hunt. The event was developed by Officers to encourage young families into Claremont during school holidays, while considering the COVID regulations.

The event was well received by attendees and retailers. Please refer to Attachment 1: Project Evaluation Report.

##### 2. 12 Days of Christmas Window Artwalk

The *12 Days of Christmas Window Artwalk* is planned for 1 – 30 December. Ten local artists will transform twelve shop windows with art installations inspired by Christmas nostalgia. Marketing collateral developed for The 12 Days project will be presented at the meeting.

Participating traders are:

- Valentini Exclusive Shoes
- Sana Boutique
- Pronto Butcher
- Monde
- Cultstatus
- La Lucca
- The Lane Bookshop

- Mosh & Jolly
- Majestic Persian Carpets
- Little Leisure
- Dymocks Claremont
- The Giving Tree

A launch event will take place on Saturday 5 December with family-friendly activations, provided by Town of Claremont and several of the traders, for families to enjoy along the Window Artwalk. These include face-painting, Christmas arts and craft, roving entertainers, giveaways, a sausage sizzle and performances from the Claremont Concert Band.

### 3. Sustainable Clothing Store

The Town's Officers have partnered with Anglicare to develop a new attraction to the town centre; a Sustainability Clothing Store. Working collaboratively, a free space was negotiated with property owner JJ Leach for Anglicare to manage. The space at 18 Bay View Terrace (rear) has been donated for a maximum 6 month period.

The shop will be called 'Lemon Tree Pop Up' with the tag line 'Preloved clothing proudly supporting Anglicare'. It will sell pre-loved, quality fashion. The Town is developing the artwork and branding for the shop, while Anglicare will staff and manage the shop, with profits going to support their Young Hearts child counselling service. Promotion of the project will be led by Town of Claremont using paid, owned and earned media to drive traffic to Claremont Town Centre.

Creative concepts for the Sustainability Store will be presented at the meeting for the committee's feedback. This will include the store name, logo and visual identity.

### 4. School Holiday Activation

Following on from the popularity and outcomes of the Great Claremont Treasure Hunt, a second activation in the Town Centre is being planned for the April school holidays, beginning with Good Friday on 2 April. CTCAC members are welcome to provide suggestions on the direction this activity should take. The Town's Officers will begin planning this activity in the New Year.

### 5. Little Libraries

Little Libraries are located outside Speedfit, Grill'd, Claremont Tableware, Toyworld and Mosh & Jolly. Town of Claremont Library refreshes the stock as required. The condition of the Little Libraries is currently being reviewed.

## **Goal - Create Awareness**

### Marketing

A 'Christmas in Claremont' radio campaign is being developed by Town of Claremont to promote events happening in Claremont during December. The campaign will run on Mix94.5 and Hit92.9 from 30 November to 20 December. This will include recorded commercials and live crosses from the street team to drive shoppers to CTC.

The 12 Days of Christmas activation will be promoted via owned and paid social media, online event listings, planter boxes and LED screens on Bay View Terrace and signage within Claremont Quarter. Earned media will also be sought through a media release profiling artists and a photo opportunity. Booklets profiling artists and retailers will be available throughout the town centre. This collateral will be presented at the meeting.

A social media content plan will be developed for the CTC Facebook and Instagram accounts from November to February. This will include profiles of traders and artists involved in 12 Days of Christmas project, a teaser campaign for the sustainability store project and using the 'Discover Claremont' brand, profiles of the people and places within the Town Centre.

The January edition of Flourish will include a double page feature profiling traders in Avion Way (Times Square).

The Claremont Town Centre website is currently under review. The website can be viewed at [www.claremonttowncentre.com.au](http://www.claremonttowncentre.com.au) Feedback on the CTC website from CTCAC members is encouraged and stakeholders will be consulted to ascertain the best way forward for digital media to support CTC businesses. A recommendation will be made regarding this at the next CTCAC meeting.

## **Goal - Create Partnerships**

### 1. Direct Business Liaison

The BDO has conducted face-to-face meeting with several businesses to gain feedback and sentiment ahead of the Christmas period. Feedback received so far has been mostly positive with most expecting a busy trading period ahead.

Monthly e-newsletters to CTC traders will recommence from November.

### 2. Business Support and Training

Discussions with the Small Business Development Corporation have continued and they plan to deliver digital marketing workshops for interested CTC businesses in February 2021. The topic of these workshops will cover four topics: digital marketing essentials (for those with limited digital marketing knowledge); creative content; social media advertising and creating graphics with Canva. An expression of interest will be circulated to CTC businesses. Claremont Hub (above Cos) have offered their space to host the workshops.

### 3. New Business Support

Discussions with JJ Leach in regards to his space called the Claremont Hub (shared office space for start-ups) commenced, with the Officers looking at ways of promoting this space to encourage new businesses and emerging businesses into Claremont. The Hub is looking to run a series of events to promote and attract entrepreneurship to the Town of Claremont. Once a proposal is received sponsorship of this events series will be evaluated and considered.

### 4. Claremont Quarter

The Town's Officers continue to work in partnership with Claremont Quarter (CQ). CQ have supported the promotion of Town events on their internal assets such as digital signage and posters. CQ have also been assisting with coordination of the installation schedules and launch event for The 12 Days of Christmas. The BDO will continue to maintain regular communication with CQ's Marketing Manager and develop further ways of working together in the New Year.

### 5. CTC Business Grants

An eDM has gone to all CTC Businesses promoting the availability of business grants. Grants of up to \$1,000 are available to businesses within the CTC in order to support initiatives and projects that provide social, cultural, and economic benefits to the town.

## **Goal - Create Comfort**

### Maude Jackson Laneway

The rejuvenation of Maude Jackson Laneway is in development. Painting, refurbishment of the existing steel structure and installation of new signage is currently being scoped for the first quarter of 2021.

**Town Centre Safety**

The Town Centre is monitored by the Town's CCTV cameras combined with the monthly police crime statistics and our security patrols. Over the past 2 month period, there has been some antisocial behaviour at night in St Quentin's Avenue. The Town is planning on extending the CCTV network in this area to assist Police. We did continue to receive requests from the Police for footage over this period, for the above and also some incidents of theft during the day

**PAST RESOLUTIONS**

Claremont Town Centre Advisory Committee 8 September 2020.

**FINANCIAL AND STAFF IMPLICATIONS**

Resource requirements are in accordance with existing budgetary allocation.

**POLICY AND STATUTORY IMPLICATIONS**

N/A.

**COMMUNICATION / CONSULTATION**

Please refer to **Goal Create Partnerships** - Direct Business Liaison.

**STRATEGIC COMMUNITY PLAN****Local Prosperity**

*Our businesses are thriving and integrated into the life of the Claremont community, and the town centre is known as the premier visitor destination.*

- Plan for the development of attractive and thriving activity nodes to support small local business.
- Support new and existing local small business and entrepreneurial activity.
- Raise profile of the Claremont Town Centre as a visitor destination.

**URGENCY**

N/A.

**VOTING REQUIREMENTS**

Simple Majority decision of Council (*More than half the elected members present are required to vote in favour*).

**COMMITTEE RESOLUTION 011/20**

**Moved:** Hannah Etherington

**Seconded:** Lesley Thomas

**That the Claremont Town Centre Advisory Committee:**

- I. Receive the Claremont Town Centre quarterly update July to September 2020.
- II. Supports a review of the website including consulting with stakeholders to ascertain the best way forward for digital media to support the businesses.
- III. Advises on the preferred option for the concept design for the Lemon Tree Pop Up Clothing Shop. Committee approved Logo concept A, shop branding 1.

**CARRIED**



# PROJECT EVALUATION

The Great Claremont Treasure Hunt

## SUMMARY

Across Tuesday 6th October and Wednesday 7th October 2020, Claremont was transformed into a land of Pirates in a quest to find treasure.

The Great Claremont Treasure Hunt was developed by the Town of Claremont to provide support for the local businesses and also create a community event for families in Claremont and beyond.

Community Development  
2020

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# Event Evaluation

## General Information

**Event name:** The Great Claremont Treasure Hunt 2020

**Date & Time:** Tuesday 6 October & Wednesday 7 October, 9am-3pm WST

**Location:** Claremont Town Centre

**Council Budget:** \$10,000

**Grants, Sponsorships & Other Income:** N/A

**Actual Budget (with explanation of outliers)**

**Total Budget:** \$10,000

- Cost: \$8,226.65

ITEM	QTY	ESTIMATED COST	ACTUAL
<b>Pirate Items</b>			
Pirate Hats and stamps for the locations	14	\$160.00	\$130.00
Pirate eye patches	1000	\$600.00	\$574.15
Pirate Treasure Chest	2	\$300.00	\$235.00
Pirate costumes for photo	2		\$114.19
Treasure map design and print	1000	\$500.00	\$300.00
<b>Prizing</b>			
Treasure (lucky dip prizing)	1000	\$2,000.00	\$2,000.00
Paper bags for lucky dips	1000	\$80.00	\$75.52
Chocolate coins	1000	\$580.00	
Barrel	1	\$150.00	\$207.00
<b>Signage</b>			
Social Media boosts		\$500.00	\$200.00
Planter box signage	20	\$800.00	\$795.00
Posters	1 pk		\$19.95
The Post Advert	1	\$695.00	
Banners	3	\$300.00	
Corflute 'collect treasure here'	1	\$50.00	\$55.00
Photo frame corflute	1	\$300.00	
<b>Event Day add ons</b>			
Pirate people		\$1,440.00	\$1,650.00



Hand Sanitiser station		<b>\$180.00</b>	<b>\$200.86</b>
Pens			
Videographer	1	\$1,500.00	
Craft supplies for Library			<b>\$79.98</b>
<b>Pirate Ship</b>			
Bouncy pirate ship - supervision inclusive		\$1,600.00	<b>\$1,590.00</b>
Pirate ship prop for Library - repaint and new sail		\$200.00	
Contingency / Other			
<b>TOTAL</b>		<b>\$11,935.00</b>	<b>\$8,226.65</b>

## Objectives of Project (if stated pre-project)

- Support business within Claremont Town Centre
- To unite the Claremont community in a social, family-friendly outdoor environment
- Create a sense of community connection
- Increase visitors to the town

## Target Audience

- Primary – Claremont residents
- Secondary – Western Suburbs residents

## Attendance

ATTENDANCE FIGURES	
Attendance Goal:	500-1000
Actual Estimated Attendance:	500-700 across the 2 days

## Project Specific Measurable Outcomes

## Key Measurable Indicators

- 308 completed entry forms to the major prize draw
- Verbal and written feedback by ToC management/staff, CTC business's and community feedback

## Incidents

N/A

## Marketing Outline

Hard copy	A3 Posters x 500 Planter box decals x 20	
		MEASUREMENTS
Social media (Facebook and Instagram)	Total social media budget: \$200 Facebook event Boost - \$200 Facebook events (2 days) Facebook posts x 3 <ul style="list-style-type: none"> <li>- October 6 (event day)</li> <li>- October 1</li> <li>- September 26</li> </ul> TOC Instagram posts x 4 <ul style="list-style-type: none"> <li>- October 6</li> <li>- September 30</li> <li>- September 22</li> <li>- September 14</li> </ul> CTC Instagram posts x 2 <ul style="list-style-type: none"> <li>- September 30</li> <li>- October 6</li> </ul> TOC Instagram stories on event day CTC Instagram stories on event day	9.8k reach / 393 Event responses 15.3k Reach / 624 Event responses  634 reach / 53 Engagement 132 Reach / 25 Engagement 267 reach / 8 Engagement  264 Reach / 12 interactions 326 Reach / 5 interactions 403 Reach / 7 interactions 285 Reach / 11 interactions  306 Reach / 3 interactions 273 Reach / 2 interactions  120 Reach 66 Reach
Newspaper advertisement	1 x story pick up in The Post 1 x story pick up in Western Suburbs Weekly 1 x Mayoral Column in The Post 1 x Mayoral Column in Western Suburbs Weekly	
ToC	Website listing Landing page hero image	

## Successes

- Very busy (retailers didn't expect how busy it would be)
- Good engagement from retailers
- Pirate Ship was a great attraction
- Major Draw was a good added bonus
- Lucky dip pricing were a good balance of items and everyone seemed happy with what they got
- Bump in/out were efficient and easy
- All suppliers and Claremont Quarter were great to deal with
- Everything ran smoothly
- Communication between team was great
- TOC staff all helped and created a team effort

- Roaming Pirates were a great addition and remained in character
- Good space at Claremont square to work with/in
- Library Pirate Hat station was a huge hit (activity for the kids)
- Retailers also adding different elements (giving away chocolate treasure / colouring in comp etc)
- Hand Sanitiser was good for covid safe plan
- Parents feedback was very positive throughout the day (Lots of photos being taken)
- Claremont Quarter provided a vacant space for us to store items in during the day and overnight
- CQ security were great to work with when we needed access into room

### Challenges

- Toyworld were a little difficult at the beginning, as they wanted control. But eased up later and were great to work with
- Getting responses from the retailers (initial stages / taking part and through out communication)
- Didn't expect to be so busy at times, limited resources (staff) on the day to interact aswell as take entry forms, lucky dip and manage event
- Weather – was hot. Tried to stay under the shade umbrellas but was difficult to move everything
- Treasure Chest barrel was heavy! Needed 2 people to carry and or a truck for long distances (looked great though)
- Could look at taking additional tables for people to complete entry form
- People wanted to keep their map which had the map on the back
- Some queue's at the bouncy castle, especially when needing to clean
- Business's thought it didn't really provide any sales for them – kids were too quick to get their stamp and go
- Converting people in store to a purchasing buyer
- Targeting specific business's relevant to activity
- Business's not being away of activity – to participate or general knowledge on the day
- No having a BDM during this time for liaison

## Feedback

### Survey Results

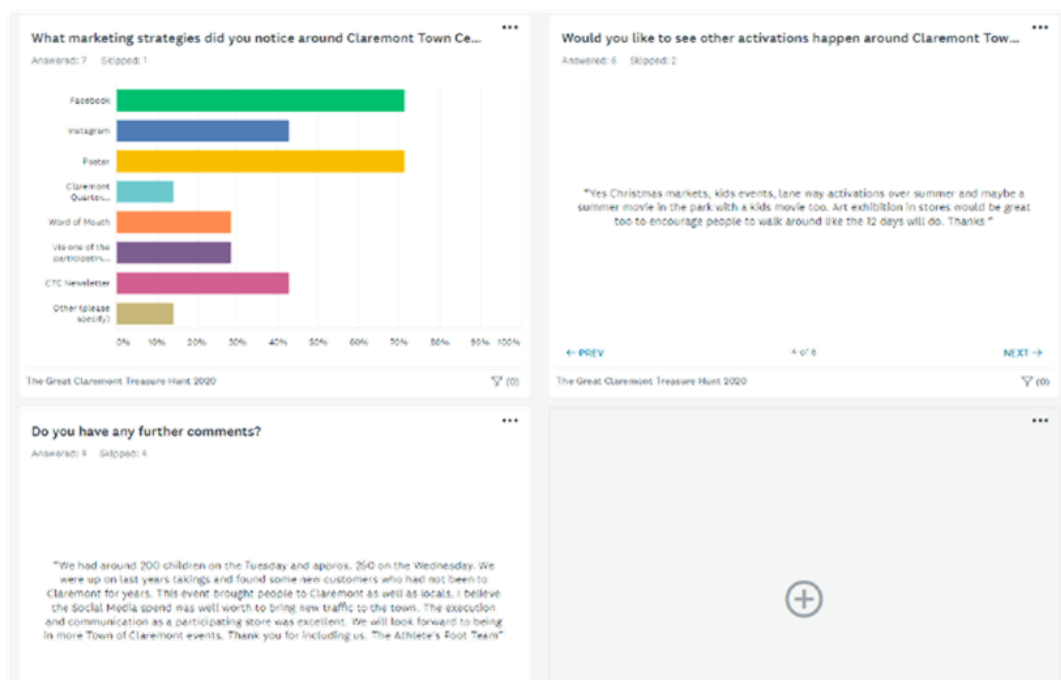
Overall we had 6 responses to the survey which was sent to CTC businesses. The event was rated excellent with 2 responses were participants in the event and 4 business's did not participate.

3 out of those 4 businesses who did not participate stated they did not receive any communication about the activity.

Social media, posters and the CTC newsletter were the main strategies that respondents noticed.

All respondents would like to see other activations happen around CTC and have suggested markets, food related activities and kids events.





## Community

**From:** Kylie Frazer  
**Sent:** Tuesday, 13 October 2020 10:39 AM  
**To:** Rachel Mazza <[rmazza@claremont.wa.gov.au](mailto:rmazza@claremont.wa.gov.au)>  
**Subject:** Treasure Hunt

Hi Rachel,

I had Sheena Pearce from 16 Senate Street come to counter and wanted to let Town know how impressed she was with the organising of the Treasure Hunt.

She said the businesses involved were great and the Town staff are a credit to the Town.

It was a fun event for the kids and well organised.

Kind regards

**Kylie Frazer**  
**Customer Relations Officer**

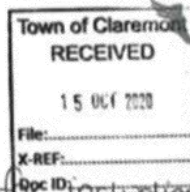
Number One Claremont  
 308 Stirling Highway, Claremont, WA 6010  
 PO Box 54, Claremont, WA, 6910  
 ph +61 8 9285 4300  
[www.claremont.wa.gov.au](http://www.claremont.wa.gov.au)

## Business Participants

October 2020

Dear Jessica &amp; Team

Thank you so much for including our store in  
The Great Claremont Treasure Hunt! We had a great  
time & will look forward to the next event.  
Warm regards Lichelle & Team xx



## The Athlete's Foot

P (08) 9384 7980  
E tafclaremont@westfeet.com.au  
Shop 220, Claremont Quarter,  
theathletesfoot.com.au



Thu 8/10/2020 10:59 AM

Claremont Chemist Buyer &lt;buyer@claremontchemist.com.au&gt;

Claremont Pirate treasure hunt day

To: Jessica Mzungu

Cc: Claremont Chemist Dispensary

Click here to download pictures. To help protect your privacy, Outlook prevented automatic download of some pictures in this message.

Hi Jessica,

We would like to thank and congratulate you and your team on organising such a successful day for The Great Claremont Treasure Hunt.

We really appreciate the opportunity that you created and provided for us. It was a wonderful event to be involved in and you created a real buzz!

We have uploaded a few pics to our Instagram on advantagepharmacyclaremont; have a look if you're interested.

Kind regards,

Dan, Anh, Hollie and the Advantage Pharmacy Claremont team.

Advantage Pharmacy Claremont WA



20 Bay View Terrace, Claremont W.A 6010

Ph: (08) 9383 3311 | Fax: (08) 9383 3055

## Recommendations

- Look at adding a food element
- Adding in other activities (face painting etc)
- More tables for entering major draw
- Make entry forms digital – using a laptop
- Asking Academy have a coffee cart outside

## **7 OTHER BUSINESS**

### April School Holiday Activation

The opportunity for members of the Committee to share ideas for the April School Holiday activation within Claremont Town Centre was discussed. Committee members can share any ideas with the Business Development Officer via email. The team will begin planning this activity in the new year.

### Safety

Business Representative Lesley Thomas shared concerns in regards to homelessness, including anti-social behavior and vandalism (broken toilet), in the laneway (called 'secret lane') behind Old Theatre Lane for the past five months. This laneway is privately owned and is used for parking and to service the stores in Old Theatre Lane. A solution may be found by putting a gate at the end of secret lane. Town of Claremont Officers will contact the Strata management to discuss possible solutions.

## **8 NEW BUSINESS OF AN URGENT NATURE APPROVED BY THE PRESIDING PERSON OR BY DECISION OF MEETING**

## **9 FUTURE MEETINGS OF COMMITTEE**

The next Claremont Town Centre Advisory Committee Meeting are proposed to be held on the following dates:

Tuesday, 9 March 2021 at 5:00pm

Tuesday, 8 June 2021 at 5:00pm

Tuesday, 14 September 2021 at 5:00pm

Tuesday, 7 December 2021 at 5:00pm

## **10 DECLARATION OF CLOSURE OF MEETING**

There being no further business, the presiding member declared the meeting closed at 6.04pm.

.....  
**CHAIRPERSON**

## 13 REPORTS OF THE CEO

### 13.1 LEADERSHIP AND GOVERNANCE

#### 13.1.1 LIST OF PAYMENTS 1 TO 31 DECEMBER 2020

**File Number:** FIM/00108, D-21-03694

**Author:** Vicki Cobby, Manager Finance

**Authoriser:** Liz Ledger, Chief Executive Officer

**Attachments:** 1. Payment Listing - December 2020 [↓](#)   
2. Purchase Card - December 2020 [↓](#) 

### PURPOSE

For Council to note those payments made by the Chief Executive Officer under delegated authority during December 2020.

### BACKGROUND

Council has delegated to the Chief Executive Officer (CEO) the exercise of its powers to make payments from the Municipal Fund and Trust Fund. The CEO is required to present a list to Council of those payments made, under this delegated authority since the last payment list was submitted.

### DISCUSSION

Attached is the list of all accounts as paid totalling \$2,541,518.12 during the month of December 2020.

The attached schedule covers:

• Municipal Funds electronic funds transfers (EFT)	\$ 2,388,746.40
• Municipal Fund vouchers (none)	\$ 0.00
• Municipal Fund direct debits	\$ 152,771.72
• Trust Fund electronic funds transfer (EFT)	\$ 0.00
• Trust Fund vouchers	\$ 0.00

All invoices have been verified, and all payments have been duly authorised in accordance with Council's procedures and Policies.

### PAST RESOLUTIONS

Ordinary Council Meeting 15 December 2020, resolution 151/20:

That Council notes all payments made by the Chief Executive Officer under Delegation DA9 for November 2020 totalling \$1,430,922.05, as detailed in Attachment 1 comprising:

\$ 1,255,067.86	Municipal Funds electronic funds transfers (EFT)
\$ 17,248.06	Municipal Fund vouchers (39626)
\$ 158,606.13	Municipal Funds direct debits
\$ 0.00	Trust Fund EFT

### FINANCIAL AND STAFF IMPLICATIONS

Resource requirements are in accordance with existing budgetary allocation.



**POLICY AND STATUTORY IMPLICATIONS**

*Local Government (Financial Management) Regulations 1996, Regulations 12- 13.*  
Town of Claremont Delegation Register – DA9 Payment of Accounts.

**COMMUNICATION / CONSULTATION**

Nil

**STRATEGIC COMMUNITY PLAN****Leadership and Governance**

*We are an open and accountable local government; a leader in community service standards.*

- Demonstrate a high standard of governance, accountability, management and strategic planning.
- Manage our finances responsibly and improve financial sustainability.

**URGENCY**

The Schedule of Payments is to be presented to the next ordinary meeting of Council after the list has been prepared, *Regulation 13(1) Local Government (Financial Management) Regulations 1996*

**VOTING REQUIREMENTS**

Simple Majority decision of Council (*More than half the elected members present are required to vote in favour*).

**OFFICER RECOMMENDATION**

**That Council notes all payments made by the Chief Executive Officer under Delegation DA9 for December 2020 totalling \$2,541,518.12, as detailed in Attachment 1 comprising:**

<b>\$ 2,388,746.40</b>	<b>Municipal Funds electronic funds transfers (EFT)</b>
<b>\$ 0.00</b>	<b>Municipal Fund vouchers (none)</b>
<b>\$ 152,771.72</b>	<b>Municipal Funds direct debits</b>
<b>\$ 0.00</b>	<b>Trust Fund EFT</b>

**SCHEDULE OF PAYMENTS  
DECEMBER 2020**

<b>ELECTRONIC FUNDS TRANSFERS DECEMBER 2020 - MUNICIPAL FUND</b>				
<b>Date</b>	<b>Ref.</b>	<b>Name</b>	<b>Details</b>	<b>Amount</b>
3/12/2020	EFT01791	ALLPEST WA	Pest control	\$ 195.00
24/12/2020	EFT01795	3D HR LEGAL (ARGYLE FAMILY TRUST)	Legal expenses	\$ 2,750.00
10/12/2020	EFT01792	ADVANCED TRAFFIC MANAGEMENT (WA) PTY LTD	Traffic control	\$ 2,869.35
24/12/2020	EFT01795	ALL FENCE U RENT	Fence hire for SMH	\$ 295.63
10/12/2020	EFT01792	ALSCO	Hygiene services	\$ 368.70
17/12/2020	EFT01793	ALSCO	Hygiene services	\$ 368.70
24/12/2020	EFT01795	Andy Pollard Homes Pty Ltd	Damage bond refund	\$ 3,000.00
24/12/2020	EFT01795	Anglela Longland	Damage bond refund	\$ 100.00
24/12/2020	EFT01795	ANIMAL PEST MANAGEMENT SERVICES	Fox & feral cat control	\$ 3,410.00
17/12/2020	EFT01793	ANNE MARIE GEE	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 1,125.00
24/12/2020	EFT01795	ANNE MARIE GEE	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 2,475.00
10/12/2020	EFT01792	APC (AUSTRALIAN PROPERTY CONSULTANT)	Planning - Leura Ave Project	\$ 4,465.60
10/12/2020	EFT01792	ARBORLOGIC	2020 annual tree inspections	\$ 7,012.50
24/12/2020	EFT01795	ARTSOURCE	Materials for 12 Days of Christmas	\$ 110.00
17/12/2020	EFT01793	AT BRINE & SONS PTY LTD	Rates refund due to overpayment	\$ 1,166.65
24/12/2020	EFT01795	AUSTRALIA POST - 623462	Postage	\$ 1,668.99
31/12/2020	EFT01796	AUSTRALIA POST - 623462	Postage	\$ 891.36
17/12/2020	EFT01793	AUSTRALIA POST - 673027	Postage	\$ 1,266.07
3/12/2020	EFT01791	AUSTRALIAN TAXATION OFFICE	PAYG withholding	\$ 48,344.00
17/12/2020	EFT01793	AUSTRALIAN TAXATION OFFICE	PAYG withholding	\$ 53,786.00
17/12/2020	EFT01793	BAILEYS FERTILISERS	Potting mix & fertilisers	\$ 271.04
10/12/2020	EFT01792	BCITF	BCITF levies	\$ 5,826.74
24/12/2020	EFT01795	BEAM HACKER (JOSHUA ANDREW MCAULIFFE)	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 1,250.00
24/12/2020	EFT01795	BENARA NURSERIES	Plants	\$ 4,507.07
3/12/2020	EFT01791	BLACK SWAN HORTICULTURE (LAIRD W CHROMIAK)	Garden/streetscape maintenance	\$ 2,156.00
10/12/2020	EFT01792	BLACK SWAN HORTICULTURE (LAIRD WAYNE CHROMIAK)	Garden/streetscape maintenance	\$ 24,671.39
24/12/2020	EFT01795	BLACK SWAN HORTICULTURE (LAIRD WAYNE CHROMIAK)	Garden/streetscape maintenance	\$ 32,953.39
10/12/2020	EFT01792	BOYAN ELECTRICAL SERVICES	Electrical repairs & maintenance	\$ 1,718.31
17/12/2020	EFT01793	BOYAN ELECTRICAL SERVICES	Electrical repairs & maintenance	\$ 176.00
24/12/2020	EFT01795	BOYAN ELECTRICAL SERVICES	Electrical repairs & maintenance	\$ 1,192.82
3/12/2020	EFT01791	BUNNINGS	Materials for Aquatic Centre	\$ 408.64
3/12/2020	EFT01791	BURGESS RAWSON (WA) PTY LTD	Water usage - SMH	\$ 323.65
31/12/2020	EFT01796	CALL ASSOCIATES P/L (CONNECT/INSIGHT CCS)	Communications (Telephones & Data)	\$ 644.22
3/12/2020	EFT01791	CENTRAL REGIONAL TAFE	Employee training	\$ 780.35
10/12/2020	EFT01792	CHARTER HALL THE TRUSTEE FOR DCSF CLAREMONT TRUST	Bayview Centre Car park annual rent	\$ 13,200.00
24/12/2020	EFT01795	CITY LIFT SERVICES (ATF THE CITY LIFTS SERVICES)	Lift maintenance/repair	\$ 957.00
10/12/2020	EFT01792	CITY OF NEDLANDS (BUILDING SERVICES)	Pool assessments	\$ 400.40
17/12/2020	EFT01793	CITY OF STIRLING	Meals on Wheels delivery services	\$ 416.76
17/12/2020	EFT01793	CITY TOYOTA	New vehicles - Managers Planning & Engineering	\$ 71,717.99
10/12/2020	EFT01792	CIVICA PTY LTD	IT software renewal/support	\$ 24,692.67
10/12/2020	EFT01792	CLAREMONT ART FRAMERS AND GALLERY	Photographs (Elected Members)	\$ 322.40
24/12/2020	EFT01795	CLAREMONT FOOTBALL CLUB INC	Claremont Football Club Grant	\$ 2,750.00
24/12/2020	EFT01795	CLAREMONT NEDLANDS CRICKET CLUB	Cresswell Reserve Maintenance	\$ 26,378.83
24/12/2020	EFT01795	CLAREMONT RECREATION CLUB	Mowing subsidy	\$ 5,907.28
10/12/2020	EFT01792	CLAREMONT YACHT CLUB	Catering for Seniors event	\$ 5,054.00
3/12/2020	EFT01791	CLEAN CITY GROUP PTY LTD	Outdoor cleaning works	\$ 3,457.30
10/12/2020	EFT01792	CLEAN CITY GROUP PTY LTD	Outdoor cleaning works	\$ 814.00
17/12/2020	EFT01793	CLEAN CITY GROUP PTY LTD	Outdoor cleaning works	\$ 8,110.30
24/12/2020	EFT01795	CLEAN CITY GROUP PTY LTD	Outdoor cleaning works	\$ 2,585.00
3/12/2020	EFT01791	COMPLETE OFFICE SUPPLIES PTY LTD	Stationery supplies	\$ 155.81
10/12/2020	EFT01792	COMPU-STOR	External records storage	\$ 508.11
10/12/2020	EFT01792	COTTESLOE PEST CONTROL	Pest control	\$ 385.00
17/12/2020	EFT01793	COTTESLOE PEST CONTROL	Pest control	\$ 399.00
24/12/2020	EFT01795	DALE ALCOCK HOMES	Damage bond refund	\$ 3,000.00
3/12/2020	EFT01791	DATACOM SYSTEMS (AU) PTY LTD	IT software renewal/support	\$ 786.69
31/12/2020	EFT01796	DE FREITAS & RYAN REAL ESTATE	Museum storage	\$ 1,929.81
24/12/2020	DFES151481	DEPARTMENT OF FIRE AND EMERGENCY SERVICES	ESL contribution	\$ 842,821.50
17/12/2020	EFT01793	DEPARTMENT OF TRANSPORT	Disclosure of fees	\$ 2,682.60
10/12/2020	EFT01792	DEVCO (THE TRUSTEE FOR DEVEREUX FAMILY TRUST)	Building works - Aquatic Centre & Bowling Club	\$ 27,456.88
10/12/2020	EFT01792	DIELECTRIC SECURITY SYSTEMS	Security services/repair & maintenance	\$ 1,208.35
24/12/2020	EFT01795	Distinctive Homes WA	Damage bond refund	\$ 3,000.00
10/12/2020	EFT01792	DMIRS (BSL)	Levies for Building services	\$ 7,006.38
3/12/2020	EFT01791	DORMAKABA AUSTRALIA PTY LTD	Repairs & maintenance	\$ 176.00
10/12/2020	EFT01792	DOWSING CONCRETE	Concrete supplies for footpath works	\$ 52,627.74
17/12/2020	EFT01793	DOWSING CONCRETE	Concrete supplies for footpath works	\$ 2,625.43
24/12/2020	EFT01795	DOWSING CONCRETE	Concrete supplies for footpath works	\$ 81,558.73
10/12/2020	EFT01792	DS AGENCIES PTY LTD	Supplies for CBD maintenance	\$ 2,937.00
3/12/2020	EFT01791	DU ELECTRICAL	Electrical repair & maintenance	\$ 506.00
17/12/2020	EFT01793	DU ELECTRICAL	Aquatic Centre bore works	\$ 48,495.15
24/12/2020	EFT01795	DU ELECTRICAL	Electrical repair & maintenance	\$ 1,743.50
24/12/2020	EFT01795	E K LEINONEN-DAVIES	Damage bond refund	\$ 500.00
24/12/2020	EFT01795	Element Construction	Damage bond refund	\$ 1,000.00
17/12/2020	EFT01793	EMILY GIBSON STUDIO (THE TRUSTEE FOR GIBSON-LINKE)	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 2,250.00
31/12/2020	EFT01796	EMILY GIBSON STUDIO (THE TRUSTEE FOR GIBSON-LINKE)	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 2,250.00
3/12/2020	EFT01791	ENVIRO SWEEP	CBD & residential area sweeps	\$ 18,469.00
24/12/2020	EFT01795	ENVIRO SWEEP	CBD & residential area sweeps	\$ 20,046.40
31/12/2020	EFT01796	ENVISIONWARE PTY LTD	IT software renewal/support	\$ 368.50
17/12/2020	EFT01793	FAST FINISHING SERVICES	Council Papers/book binding	\$ 720.50
24/12/2020	EFT01795	FAST FINISHING SERVICES	Council Papers/book binding	\$ 722.70
3/12/2020	EFT01791	FERJUS PTY LTD (LIBERTY LIQUORS)	Catering for Seniors event	\$ 749.90
24/12/2020	EFT01795	FLOAT CREATIVE (STEVEN BUCKLES)	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 1,250.00

**SCHEDULE OF PAYMENTS  
DECEMBER 2020**

Date	Ref.	Name	Details	Amount
24/12/2020	EFT01795	FORM BUILDING A STATE OF CREATIVITY INC.	Reimbursement of repair/maintenance costs	\$ 988.16
10/12/2020	EFT01792	Forte Builders	Damage bond refund	\$ 3,000.00
10/12/2020	EFT01792	FREEDOM FAIRIES	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 1,703.90
24/12/2020	EFT01795	FREO FIRE SERVICES PTY LTD	Repair & maintenance	\$ 218.18
24/12/2020	EFT01795	FRUIT AT WORK	Fruit	\$ 713.00
17/12/2020	EFT01793	G & I SURVEYS	Survey Cresswell Park	\$ 1,114.30
17/12/2020	EFT01793	GOODALL'S BRICKPAVING & MINI BOBCAT SERVICE	Various brick paving/road works	\$ 1,503.70
10/12/2020	EFT01792	GPS ON BAYVIEW	Pre-employment medical checks	\$ 145.00
24/12/2020	EFT01795	GPS ON BAYVIEW	Pre-employment medical checks	\$ 145.00
24/12/2020	EFT01795	GWT POWER MUSIC t/a POWER MUSIC PRODUCTIONS	Services/equipment hire for 12 days/Le Parc Lumiere	\$ 917.25
3/12/2020	EFT01791	GWT POWER MUSIC/POWER MUSIC PRODUCTIONS	Equipment hire for 12 days/Le Parc Lumiere	\$ 209.00
3/12/2020	EFT01791	HANNAH ETHERINGTON FLOWERS	Christmas floral decorations	\$ 300.00
3/12/2020	EFT01791	HELM MEDIA (T IFFLA & J.A LAIRD)	Hire for 12 Days/Le Parc	\$ 1,430.00
17/12/2020	EFT01793	HELM MEDIA (T IFFLA & J.A LAIRD)	Hire for 12 Days/Le Parc	\$ 2,530.00
24/12/2020	EFT01795	HELM MEDIA (T IFFLA & J.A LAIRD)	Hire for 12 Days/Le Parc	\$ 2,145.00
17/12/2020	EFT01793	I.D. CONSULTING	Subscription fee for Aquatic Centre	\$ 4,400.00
17/12/2020	EFT01793	IAN TREGONNING	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 300.00
10/12/2020	EFT01792	IMAGESOURCE	Prints - Ads/promotion	\$ 2,123.00
17/12/2020	EFT01793	IMAGESOURCE	Prints - Ads/promotion	\$ 3,218.60
24/12/2020	EFT01795	IMAGESOURCE	Prints - Ads/promotion	\$ 214.50
24/12/2020	EFT01795	INSTANT PRODUCTS HIRE	Hand sanitiser - Le Parc Lumiere	\$ 1,756.04
24/12/2020	EFT01795	IXOM OPERATIONS PTY LTD	Aquatic Centre chemicals	\$ 4,827.45
10/12/2020	EFT01792	J & V CONTRACTORS	Hire/supplies for depot works	\$ 16,845.40
17/12/2020	EFT01793	J & V CONTRACTORS	Remove & pack pavers at Ashton Ave yard	\$ 6,699.00
24/12/2020	EFT01795	J & V CONTRACTORS	Waste disposal for street sweeping	\$ 4,224.00
31/12/2020	EFT01796	J & V CONTRACTORS	Hire/supplies for depot works	\$ 10,835.00
24/12/2020	EFT01795	JB HI-FI COMMERCIAL DIVISION	Electronic purchases for Library & Health Department	\$ 1,650.00
17/12/2020	EFT01793	JDSI CONSULTING ENGINEERS	Town Centre Activity Plan	\$ 2,035.00
24/12/2020	EFT01795	JDSI CONSULTING ENGINEERS	Town Centre Activity Plan	\$ 4,884.00
10/12/2020	EFT01792	JEWELBIC ELECTRICAL PTY LTD	Electrical repair & maintenance	\$ 1,738.00
24/12/2020	EFT01795	John H Lawton	Damage bond refund	\$ 1,000.00
17/12/2020	EFT01793	KATHRYN BRIDGET HEANEY	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 1,125.00
17/12/2020	EFT01793	KINGMAN VISUAL	Town signage	\$ 2,798.04
17/12/2020	EFT01793	KYOCERA	Printing costs	\$ 492.80
24/12/2020	EFT01795	KYOCERA	Printing costs	\$ 575.27
24/12/2020	EFT01795	LADYBIRD ENTERTAINMENT (SANDRA M MCARDELL)	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 3,050.52
17/12/2020	EFT01793	LANDGATE - MIDLAND	Valuation Expenses GRV	\$ 567.60
24/12/2020	EFT01795	LANDGATE - MIDLAND	Valuation Expenses GRV	\$ 527.36
10/12/2020	EFT01792	LGISWA	Workcare and property Insurance	\$ 83,465.52
3/12/2020	EFT01791	LGRCEU	Union fee from employee deduction	\$ 41.00
17/12/2020	EFT01793	LGRCEU	Union fee from employee deduction	\$ 41.00
10/12/2020	EFT01792	LOCAL GOVERNMENT PROFESSIONALS WA	HR expenses	\$ 150.00
24/12/2020	EFT01795	LOCK, STOCK & FARRELL LOCKSMITH	Locks	\$ 905.50
24/12/2020	EFT01795	M G & T Russell	Damage bond refund	\$ 1,000.00
3/12/2020	EFT01791	M.D.R. MOBILE DIESEL REPAIRS	Building maintenance expenses - Aquatic Centre	\$ 990.00
24/12/2020	EFT01795	M.D.R. MOBILE DIESEL REPAIRS	Minor equipment for Aquatic Centre	\$ 990.00
24/12/2020	EFT01795	MAD COW ENTERTAINMENT	Hire for event at the Aquatic Centre	\$ 1,250.00
17/12/2020	EFT01793	MARION JOAN LASKOWSKI	Oral History Transcriptions	\$ 292.50
24/12/2020	EFT01795	MARKETFORCE	Ads/promotions/notices	\$ 580.71
24/12/2020	EFT01795	MARQUEE MAGIC	Hire for Le Parc Lumiere/12 Days of Christmas	\$ 2,959.50
24/12/2020	EFT01795	Matthew Bowles	Damage bond refund	\$ 3,000.00
3/12/2020	EFT01791	MCLEODS	Legal expenses	\$ 176.00
10/12/2020	EFT01792	MD MUSHFIQUR RAHMAN KHAN	Reimburse NPC	\$ 19.80
17/12/2020	EFT01793	MELVILLE BIN HIRE (RAOL PTY LTD)	Hire for museum	\$ 440.00
3/12/2020	EFT01791	MICHELLE KENDRICK	Reimburse NPC - Incorrect bank details provided	\$ 52.00
10/12/2020	EFT01792	MICHELLE KENDRICK	Reimburse NPC	\$ 52.00
10/12/2020	EFT01792	MISHA ELLIOTT	Reimburse NPC	\$ 52.00
3/12/2020	EFT01791	MOORE AUSTRALIA (WA) PTY LTD	Staff training	\$ 2,838.00
24/12/2020	EFT01795	NASRUL (NAZ) IQBAL SUMADI	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 1,250.00
24/12/2020	EFT01795	NATALE GROUP AUSTRALIA	Security patrols	\$ 801.90
31/12/2020	EFT01796	NATALE GROUP AUSTRALIA	Security patrols	\$ 801.90
24/12/2020	EFT01795	NATURE CALLS 1 PTY LTD	Hire for Le Parc Lumiere/12 Days of Christmas	\$ 4,003.00
10/12/2020	EFT01792	NEVERFAIL SPRINGWATER LTD	Monthly rental & bottle	\$ 43.03
10/12/2020	EFT01792	NICHOLAS KING	Reimburse mobile usage	\$ 40.00
10/12/2020	EFT01792	NORTH STREET STORE PTY LTD	OCM catering 17/11/20, Forum catering 16/11/20	\$ 1,165.00
17/12/2020	EFT01793	NORTH STREET STORE PTY LTD	Catering for planning w/shop, CTCAC meeting	\$ 325.00
24/12/2020	EFT01795	NORTH STREET STORE PTY LTD	OCM catering 15/12/20	\$ 800.00
31/12/2020	EFT01796	NORTH STREET STORE PTY LTD	Catering for staff Christmas lunch 23/12/20	\$ 2,070.00
31/12/2020	EFT01796	NVMS PTY LTD	Noise control expenses	\$ 210.10
17/12/2020	EFT01793	O.C.P SALES	Radio for Rangers	\$ 1,373.90
3/12/2020	EFT01791	OCE CORPORATE CLEANING	Office cleaning	\$ 3,388.00
17/12/2020	EFT01793	OCE CORPORATE CLEANING	Office cleaning	\$ 19,138.19
24/12/2020	EFT01795	OCE CORPORATE CLEANING	Office cleaning	\$ 104.50
17/12/2020	EFT01793	OPAL (PAPER AUSTRALIA PTY LTD)	Stationery supplies	\$ 134.54
3/12/2020	EFT01791	OST (COUNCILFIRST)	IT software renewal/support	\$ 106.26
17/12/2020	EFT01793	OST (COUNCILFIRST)	IT software renewal/support	\$ 28.82
17/12/2020	EFT01793	PAUL RAYMOND CROLE	Rates refund due to overpayment	\$ 309.04
24/12/2020	EFT01795	PERTH CAKE COLLECTIVE (ASHLEIGH VAUGHAN)	Staff Christmas dessert & gifts	\$ 400.00
3/12/2020	EFT01791	PERTH OFFICE EQUIPMENT REPAIRS	Office equipment repair & maintenance	\$ 388.42
3/12/2020	EFT01791	PERTH SYMPHONY ORCHESTRA	Hire for Le Parc Lumiere/12 Days of Christmas	\$ 8,250.00
24/12/2020	EFT01795	PERTH SYMPHONY ORCHESTRA	Hire for Le Parc Lumiere/12 Days of Christmas	\$ 8,250.00
24/12/2020	EFT01795	PERTH WINDOW&DOOR REPLACEMENT (BARROWMAN HOLDINGS)	Supply glazed partition with door for Planning	\$ 3,446.74

**SCHEDULE OF PAYMENTS  
DECEMBER 2020**

Date	Ref.	Name	Details	Amount
17/12/2020	EFT01793	PHENOMENON EVENT SERVICES PTY LTD	Hire for Le Parc Lumiere/12 Days of Christmas	\$ 1,152.80
10/12/2020	EFT01792	PIPELINE IRRIGATION	Irrigation works	\$ 12,211.00
17/12/2020	EFT01793	PIPELINE IRRIGATION	Irrigation works	\$ 12,276.00
24/12/2020	EFT01795	PIPELINE IRRIGATION	Irrigation works	\$ 12,375.40
24/12/2020	EFT01795	Positiva Holding Pty Ltd	Damage bond refund	\$ 1,500.00
10/12/2020	EFT01792	POST NEWSPAPER PTY LTD	Ads/promotions	\$ 1,100.00
24/12/2020	EFT01795	PRESCRIPTION ENTERTAINMENT PTY LTD	Hire for Le Parc Lumiere/12 Days of Christmas	\$ 1,190.75
10/12/2020	EFT01792	PROFESSIONAL TREE SURGEONS	Various tree works	\$ 1,331.00
24/12/2020	EFT01795	PROFESSIONAL TREE SURGEONS	Various tree works	\$ 8,811.00
3/12/2020	EFT01791	PROTEC ASPHALT	Supply/maintain road asphalt	\$ 1,320.00
10/12/2020	EFT01792	PROTEC ASPHALT	Supply/maintain road asphalt	\$ 10,626.00
24/12/2020	EFT01795	PROTEC ASPHALT	Supply/maintain road asphalt	\$ 396.00
31/12/2020	EFT01796	PROTEC ASPHALT	Supply/maintain road asphalt	\$ 3,960.00
24/12/2020	EFT01795	QUALITY PRESS (ALBA HOLDINGS PTY LTD)	Print ads/promotions	\$ 1,125.21
3/12/2020	EFT01791	R K ROACH	Survey for road works	\$ 1,724.25
10/12/2020	EFT01792	R K ROACH	Survey for road works	\$ 1,031.25
17/12/2020	EFT01793	R K ROACH	Survey for road works	\$ 1,292.50
31/12/2020	EFT01796	R K ROACH	Survey for road works	\$ 1,240.25
24/12/2020	EFT01795	RAPID HOLDINGS WA PTY LTD	Aquatic Centre's building maintenance	\$ 550.00
10/12/2020	EFT01792	Rodney Kidd	Damage bond refund	\$ 1,000.00
17/12/2020	EFT01793	RONALD A & SUSAN E JENSEN	Rates refund due to overpayment	\$ 352.45
24/12/2020	EFT01795	ROSEMARY DIXON	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 500.00
17/12/2020	EFT01793	SEAN BADANI	Reimburse mobile usage	\$ 45.00
3/12/2020	EFT01791	SEEK LIMITED	HR expenses	\$ 1,485.00
10/12/2020	EFT01792	SEEK LIMITED	HR expenses	\$ 282.15
24/12/2020	EFT01795	SEEK LIMITED	HR expenses	\$ 669.13
3/12/2020	EFT01791	SHELDON VAUGHAN PAUL & DALLAS KATHLEEN BURT	Rates refund due to overpayment	\$ 97.23
17/12/2020	EFT01793	SHERIDANS FOR BADGES	Badges for council/director	\$ 214.50
24/12/2020	EFT01795	SHERIDANS FOR BADGES	Badges for council/director	\$ 273.90
24/12/2020	EFT01795	SHINE COMMUNITY SERVICES	Community contributions	\$ 59,265.25
24/12/2020	EFT01795	SIGMA CHEMICALS	Aquatic Centre chemicals	\$ 1,089.55
10/12/2020	EFT01792	SITE ARCHITECTURE STUDIO (SAS UNIT TRUST)	McKenzie Pavilion Redevelopment	\$ 23,337.16
10/12/2020	EFT01792	SPEEDO AUSTRALIA PTY LIMITED	Aquatic Centre shop purchases	\$ 2,799.72
24/12/2020	EFT01795	SPEEDO AUSTRALIA PTY LIMITED	Aquatic Centre shop purchases	\$ 1,455.30
17/12/2020	EFT01793	SPORTSWORLD OF WA	Aquatic Centre shop purchases	\$ 1,391.50
24/12/2020	EFT01795	Spyglass Pacific Pty Ltd	Damage bond refund	\$ 3,000.00
24/12/2020	EFT01795	ST JOHN AMBULANCE AUSTRALIA (WA) INC.	Hire for Le Parc Lumiere/12 Days of Christmas	\$ 1,477.30
24/12/2020	EFT01795	Steve O'Brien - 02 Projects	Damage bond refund	\$ 1,000.00
3/12/2020	EFT01791	SUSTAINABLE OUTDOORS	Weed control/parks works	\$ 11,492.22
10/12/2020	EFT01792	TELSTRA	Mobile/data/communication expenses	\$ 999.09
10/12/2020	EFT01792	TELSTRA	Mobile/data/communication expenses	\$ 30.00
17/12/2020	EFT01793	TELSTRA	Mobile/data/communication expenses	\$ 244.97
3/12/2020	EFT01791	THOMAS CLARK (BRIDGE REMOVALS)	Removalist for Museum	\$ 1,122.00
24/12/2020	EFT01795	THOMAS CLARK (BRIDGE REMOVALS)	Removalist for Museum	\$ 792.00
17/12/2020	EFT01793	Transbuild WA	Damage bond refund	\$ 3,000.00
3/12/2020	EFT01791	TRISLEY'S HYDRAULIC SERVICES PTY LTD	Aquatic Centre shop purchases	\$ 112.75
17/12/2020	EFT01793	TRUE BLUE CONTAINERS (2005) PTY LTD	Container hire for depot	\$ 4,290.00
3/12/2020	EFT01791	TURFWORKS WA PTY LTD	Turf maintenance services	\$ 4,731.10
10/12/2020	EFT01792	TURFWORKS WA PTY LTD	Turf maintenance services	\$ 3,620.10
17/12/2020	EFT01793	TURFWORKS WA PTY LTD	Turf maintenance services	\$ 4,978.60
31/12/2020	EFT01796	TURFWORKS WA PTY LTD	Turf maintenance services	\$ 4,258.10
3/12/2020	EFT01791	TWO YACHT CHEFS (KIRKWOOD DELICATESSEN)	Catering for Le Parc Lumiere	\$ 299.75
17/12/2020	EFT01793	ULTRA TUNE CLAREMONT	Car maintenance	\$ 271.30
17/12/2020	EFT01793	VOCUS PTY LTD	Internet services	\$ 5,823.40
24/12/2020	EFT01795	VOCUS PTY LTD	Internet services	\$ 2,188.27
3/12/2020	EFT01791	VORGEE PTY LTD	Aquatic Centre shop purchases	\$ 3,168.00
3/12/2020	EFT01791	VORGEE PTY LTD	Aquatic Centre shop purchases	\$ 2,435.40
17/12/2020	EFT01793	VORGEE PTY LTD	Aquatic Centre shop purchases	\$ 1,595.20
24/12/2020	EFT01795	WA GENEALOGICAL SOCIETY INC	Subscriptions/memberships for Library	\$ 100.00
17/12/2020	EFT01793	WATWAY (NORTHSIDE LOGISTICS & FINISHERS)	Christmas lights install & dismantle	\$ 15,338.40
24/12/2020	EFT01795	WAY FUNKY COMPANY PTY LTD	Aquatic Centre shop purchases	\$ 2,315.50
24/12/2020	EFT01797	WAY FUNKY COMPANY PTY LTD	Aquatic Centre shop purchases	\$ 4,653.21
3/12/2020	EFT01791	WESTBOOKS	Library acquisition	\$ 2,004.55
10/12/2020	EFT01792	WESTBOOKS	Library acquisition	\$ 425.44
17/12/2020	EFT01793	WESTBOOKS	Library acquisition	\$ 914.06
24/12/2020	EFT01795	WESTBOOKS	Library acquisition	\$ 269.57
3/12/2020	EFT01791	WESTCOAST BLINDS AND INTERIORS (SAS BLINDS P/L)	Blinds for Aquatic Centre	\$ 8,800.00
17/12/2020	EFT01794	WESTERN AUSTRALIAN TREASURY CORPORATION	Loan repayment	\$ 44,459.24
29/12/2020	LOAN3-291220	WESTERN AUSTRALIAN TREASURY CORPORATION	Loan repayment	\$ 42,765.22
30/12/2020	LOAN28-30122	WESTERN AUSTRALIAN TREASURY CORPORATION	Loan repayment	\$ 169,554.83
31/12/2020	LOAN48-31122	WESTERN AUSTRALIAN TREASURY CORPORATION	Loan repayment	\$ 51,849.07
3/12/2020	EFT01791	WESTERN METROPOLITAN REGIONAL COUNCIL	Domestic waste collection	\$ 16,913.43
10/12/2020	EFT01792	WESTERN METROPOLITAN REGIONAL COUNCIL	Domestic waste collection	\$ 17,170.67
17/12/2020	EFT01793	WESTERN METROPOLITAN REGIONAL COUNCIL	Domestic waste collection	\$ 18,940.36
17/12/2020	EFT01793	WILMA VAN BOXTEL-ZOETHOUT	Artist - Le Parc Lumiere/12 Days of Christmas	\$ 1,237.50
17/12/2020	EFT01793	WINC	Stationery supplies	\$ 55.12
31/12/2020	EFT01796	WORK CLOBBER	Staff uniform	\$ 686.13
24/12/2020	EFT01795	ZIPFORM PTY LTD	Print rates notices	\$ 1,171.58
<b>Total EFT</b>				<b>\$ 2,388,746.40</b>
<b>Total Number of EFT Transfers</b>				<b>241</b>



**SCHEDULE OF PAYMENTS  
DECEMBER 2020**

Date	Ref.	Name	Details	Amount
<b>CHEQUES ISSUED DECEMBER 2020 - MUNICIPAL FUND</b>				
Date	Ref.	Name	Details	Amount
Total Cheques				\$ -
Total Number of Cheques				0
<b>DIRECT DEBITS DECEMBER 2020 - MUNICIPAL FUND</b>				
Date	Ref.	Name	Details	Amount
		ALINTA	Gas bill	\$ 71.15
		AMPOL	Fuel card expenses	\$ 1,825.55
		IBM	Lease of computers	\$ 1,812.64
		NAB	Various bank fees	\$ 6,480.99
		NAB PURCHASE CARD	Purchase Card expenses - DECEMBER 2020	\$ 13,264.04
		PAYROLL	Payroll and superannuation	\$ 63,955.20
		SHELL	Fuel card expenses	\$ 1,092.92
		SUEZ	Domestic waste collection	\$ 30,000.00
		SYNERGY	Various electricity and street lighting	\$ 34,269.23
Total Direct Debits				\$ 152,771.72
		TOTAL MUNICIPAL PAYMENTS FOR THE MONTH OF DECEMBER 2020		\$ 2,541,518.12
<b>ELECTRONIC FUNDS TRANSFERS DECEMBER 2020 - TRUST FUND</b>				
Date	Ref.	Name	Details	Amount
Total EFT				\$ -
Total Number of EFT Transfers				0
<b>CHEQUES ISSUED DECEMBER 2020 - TRUST FUND</b>				
Date	Ref.	Name	Details	Amount
Total Cheques				\$ -
Total number of Cheques				0
		TOTAL TRUST PAYMENTS FOR THE MONTH OF DECEMBER 2020		\$ -
		TOTAL ALL PAYMENTS FOR THE MONTH OF DECEMBER 2020		\$ 2,541,518.12

## Statement Period 28 Nov 2020 to 29 Dec 2020

### Manager Community Engagement

Posting Date	Tran Date	Supplier	Narrative Details	Amount
30-Nov-20	27-Nov-20	Mailchimp *monthly	Mailchimp subscription	\$ 86.67
1-Dec-20	29-Nov-20	Bunnings 483000	12 Days activation- artist supplies	\$ 6.10
1-Dec-20	29-Nov-20	Bunnings 483000	12 Days activation- artist supplies	\$ 124.55
1-Dec-20	30-Nov-20	Facebook	Facebook advertising- Le Parc Lumiere	\$ 30.00
2-Dec-20	30-Nov-20	Compleat Angler & Ca	12 Days activation- artist supplies	\$ 24.99
3-Dec-20	1-Dec-20	Bunnings 483000	Purple Bench project- supplies	\$ 98.22
3-Dec-20	3-Dec-20	Coles 0299	12 Days of Christmas supplies	\$ 19.90
4-Dec-20	4-Dec-20	Coles 0299	12 Days of Christmas supplies	\$ 9.00
7-Dec-20	5-Dec-20	Temptations	12 Days of Christmas catering for performers	\$ 30.00
7-Dec-20	5-Dec-20	Facebook	Advertising Le Park Lumiere	\$ 30.00
7-Dec-20	5-Dec-20	Temptations	12 Days of Christmas catering for performers	\$ 33.00
9-Dec-20	8-Dec-20	Facebook	Advertising Le Park Lumiere	\$ 30.00
11-Dec-20	10-Dec-20	Facebook	Advertising Le Parc Lumiere	\$ 40.00
16-Dec-20	15-Dec-20	Facebook	Facebook advertising Le Parc Lumiere	\$ 39.15
18-Dec-20	17-Dec-20	Claremont Quarter	Le Parc Lumiere People's Choice Award prize	\$ 200.00
24-Dec-20	22-Dec-20	Facebook	Facebook advertising - Community Development	\$ 33.00
24-Dec-20	22-Dec-20	Facebook	Facebook advertising - Community Development	\$ 33.00
24-Dec-20	23-Dec-20	Facebook	Facebook advertising - Community Development	\$ 33.00
29-Dec-20	23-Dec-20	Facebook	Facebook advertising - Community Development	\$ 33.00
29-Dec-20	23-Dec-20	Facebook	Facebook advertising - Community Development	\$ 33.00
29-Dec-20	24-Dec-20	Facebook	Christmas in Claremont advertising	\$ 44.00
29-Dec-20	27-Dec-20	Mailchimp *monthly	Mail Chimp monthly subscription	\$ 83.93
			Total AUD	\$ 1,094.51

### Director People and Governance

Posting Date	Tran Date	Supplier	Narrative Details	Amount
1-Dec-20	1-Dec-20	Eb *develop Your Emoti	Staff training - Event Brite	\$ 285.00
4-Dec-20	3-Dec-20	Techstreet-Clarivate	Precedent document	\$ 134.70
22-Dec-20	18-Dec-20	Galileo Buona Cucina	Christmas Dinner - Elected Members & Executive	\$ 2,038.00
22-Dec-20	22-Dec-20	Claremont Newsagency	Stationery	\$ 19.98
22-Dec-20	22-Dec-20	Coles 0299	Refreshments - staff lunch	\$ 43.15
24-Dec-20	22-Dec-20	Ferjus	Refreshments - staff lunch	\$ 59.97
			Total AUD	\$ 2,580.80

### Coordinator Governance and Risk

Posting Date	Tran Date	Supplier	Narrative Details	Amount
18-Dec-20	17-Dec-20	Vasse Felix Pty Ltd	Dining and Refreshments	\$ 559.80
			Total AUD	\$ 559.80

### Director Planning and Development

Posting Date	Tran Date	Supplier	Narrative Details	Amount
4-Dec-20	3-Dec-20	Cpp Concert Hall	MRWA meeting - parking	\$ 8.08
4-Dec-20	3-Dec-20	Cpp Concert Hall	LGPA Forum - parking	\$ 8.08
7-Dec-20	4-Dec-20	Cpp His Majestys	Parking for consultant brief	\$ 4.54
21-Dec-20	19-Dec-20	Coles Express 6913	Fuel	\$ 30.19
			Total AUD	\$ 50.89

### Administration Officer - Infrastructure

Posting Date	Tran Date	Supplier	Narrative Details	Amount
30-Nov-20	26-Nov-20	Bunnings 483000	Treated pine pickets for verge	\$ 8.74
3-Dec-20	1-Dec-20	Bunnings 483000	Materials for various building repairs & bore	\$ 30.40
3-Dec-20	1-Dec-20	Bunnings 483000	Minor equipment & materials	\$ 197.41
7-Dec-20	3-Dec-20	Bunnings 483000	Materials for handrail repair - Aquatic Centre	\$ 71.32
7-Dec-20	4-Dec-20	Bunnings 309000	Shovel & gloves for parks staff	\$ 75.96
9-Dec-20	7-Dec-20	Bunnings 309000	Sand for footpath - Second Ave	\$ 25.68
9-Dec-20	8-Dec-20	Cancer Council Retail	Sunscreen protection for outdoor staff	\$ 198.50
11-Dec-20	10-Dec-20	Paypal *truckbitsau	Parts for water truck	\$ 186.30
11-Dec-20	11-Dec-20	Claremont Newsagency	Farewell card for Manager Engineering & Parks	\$ 6.99
11-Dec-20	11-Dec-20	Coles 0299	Staff amenities	\$ 35.80
14-Dec-20	10-Dec-20	Bunnings 483000	Materials for tap repair - Aquatic Centre	\$ 20.98
14-Dec-20	11-Dec-20	Galvins Plumbing Suppl	Fire hose nozzle - Aquatic Centre	\$ 106.70
14-Dec-20	14-Dec-20	Bob Jane T Mart Clar	New tyres for Field Officer ute	\$ 1,039.00
15-Dec-20	14-Dec-20	Tn Mobile Claremont	Mobile phone screen protector - Field Officer	\$ 25.00
15-Dec-20	14-Dec-20	Tn Mobile Claremont	Mobile phone cover for Field Officer	\$ 30.00
16-Dec-20	16-Dec-20	Reece 6018	Valve box for Museum	\$ 28.28
16-Dec-20	16-Dec-20	Ultra Tune Claremont	Vehicle service - Field Officer	\$ 330.40

18-Dec-20	16-Dec-20	Bunnings 309000	Security screws for plaques - Claremont Park	\$ 6.52
18-Dec-20	16-Dec-20	Bunnings 483000	Spare keys for St John building	\$ 8.85
18-Dec-20	16-Dec-20	Aldi Stores - Forest L	Catering for farewell Manager Engineering & Parks	\$ 49.08
18-Dec-20	16-Dec-20	Bunnings 483000	Lead extensions, powerarc tech	\$ 91.54
21-Dec-20	17-Dec-20	Bunnings 483000	BBQ tools for operations centre	\$ 7.90
21-Dec-20	17-Dec-20	Bunnings 483000	Materials for community garden	\$ 147.27
			Total AUD	\$ 2,728.62

#### CEO

Posting Date	Tran Date	Supplier	Narrative Details	Amount
24-Dec-20	22-Dec-20	Adobe Systems Pty Ltd	Adobe license monthly charge	\$ 76.99
			Total AUD	\$ 76.99

#### Manager Environmental Health

Posting Date	Tran Date	Supplier	Narrative Details	Amount
11-Dec-20	10-Dec-20	Boc Limited	Dry ice for mosquito trapping	\$ 4.99
14-Dec-20	12-Dec-20	Bp Express 6201	Cleaning of water sampling equipment	\$ 10.00
			Total AUD	\$ 14.99

#### Curator Museum

Posting Date	Tran Date	Supplier	Narrative Details	Amount
1-Dec-20	28-Nov-20	Ventraip Australia Pty Lt	Website hosting	\$ 89.70
10-Dec-20	10-Dec-20	Coles 0299	Volunteer gift	\$ 20.00
11-Dec-20	10-Dec-20	Tcc Claremont Quarter	Volunteer update morning tea	\$ 41.00
11-Dec-20	10-Dec-20	Tcc Claremont Quarter	Volunteer update morning tea	\$ 111.30
16-Dec-20	16-Dec-20	Telstra	Hub recharge for laptops	\$ 50.00
			Total AUD	\$ 312.00

#### Administration Officer - Planning and Building

Posting Date	Tran Date	Supplier	Narrative Details	Amount
17-Dec-20	17-Dec-20	Coles 0299	Air freshner for staff toilets	\$ 2.05
			Total AUD	\$ 2.05

#### Assistant Centre Manager

Posting Date	Tran Date	Supplier	Narrative Details	Amount
21-Dec-20	18-Dec-20	Bunnings 483000	Cap for leaking shower	\$ 1.90
			Total AUD	\$ 1.90

#### Manager Engineering and Parks

Posting Date	Tran Date	Supplier	Narrative Details	Amount
30-Nov-20	26-Nov-20	Bunnings 483000	Pool tile repairs - maintenance	\$ 31.92
7-Dec-20	4-Dec-20	Bunnings 483000	Additional materials for Christmas lights	\$ 14.98
			Total AUD	\$ 46.90

#### Executive Assistant

Posting Date	Tran Date	Supplier	Narrative Details	Amount
1-Dec-20	30-Nov-20	Facebook	Marketing - 12 Days of Christmas & sustainability	\$ 105.28
2-Dec-20	2-Dec-20	Claremont Quarter	Employee of the month vouchers	\$ 100.00
3-Dec-20	2-Dec-20	Coles Online	Staff refreshments	\$ 157.60
4-Dec-20	3-Dec-20	Foodies Market Clare	Staff refreshments	\$ 41.47
9-Dec-20	9-Dec-20	Martineaus Patisseri	Pocket garden supplies	\$ 66.40
10-Dec-20	9-Dec-20	Liv*claremontartframe	Certificate of service	\$ 126.00
14-Dec-20	11-Dec-20	Bunnings 483000	Supplies for Le Parc Lumiere	\$ 30.37
15-Dec-20	13-Dec-20	Grilld Pty Ltd	Supplies for Le Parc Lumiere (water)	\$ 20.00
16-Dec-20	16-Dec-20	Coles 0299	Staff farewell	\$ 51.50
17-Dec-20	16-Dec-20	David Jones Limited	Staff member 9 Years farewell gift	\$ 200.00
17-Dec-20	17-Dec-20	Dan Murphys Online	Staff Christmas function supplies	\$ 215.50
22-Dec-20	21-Dec-20	Partytown	Staff Christmas supplies	\$ 31.80
22-Dec-20	21-Dec-20	Partytown	Staff Christmas supplies	\$ 299.70
24-Dec-20	23-Dec-20	Partytown	Staff Christmas supplies	\$ 44.85
			Total AUD	\$ 1,490.47

**Administration Officer - Rangers**

Posting Date	Tran Date	Supplier	Narrative Details	Amount
7-Dec-20	4-Dec-20	Claremont Carwash	Car wash Ranger vehicle	\$ 24.00
11-Dec-20	10-Dec-20	Subway Claremont	Training webinar catering - Com Safety officers	\$ 82.40
14-Dec-20	11-Dec-20	Costco Wholesale Austr	Dog biscuits for promotional goodie bags	\$ 79.96
14-Dec-20	13-Dec-20	Surveymonkey	Standard annual plan 13/12/20 - 12/12/21	\$ 288.00
			Total AUD	\$ 474.36

**Manager CCH and Library**

Posting Date	Tran Date	Supplier	Narrative Details	Amount
30-Nov-20	28-Nov-20	Spotlight	Refund for ribbon unavailable	-\$ 7.00
1-Dec-20	1-Dec-20	Coles 0299	Tissues	\$ 2.00
1-Dec-20	1-Dec-20	Coles 0299	Morning tea for HICC	\$ 30.65
2-Dec-20	1-Dec-20	Dymocks Claremont	New library stock	\$ 22.49
2-Dec-20	1-Dec-20	Choice	Magazine subscription	\$ 352.80
3-Dec-20	1-Dec-20	Jacks Wholefoods &	Event-Adult History in a Coffee Cup	\$ 12.79
3-Dec-20	1-Dec-20	Mailchimp *monthly	MailChimp Newsletter	\$ 63.42
3-Dec-20	1-Dec-20	Jb Hi Fi Claremont	New library stock	\$ 128.92
8-Dec-20	7-Dec-20	Dymocks Claremont	New library stock	\$ 256.91
9-Dec-20	7-Dec-20	Jb Hi Fi Claremont	New library stock	\$ 259.27
10-Dec-20	10-Dec-20	Coles 0299	Events - Children Xmas parties	\$ 43.54
11-Dec-20	9-Dec-20	Jacks Wholefoods &	Morning tea supplies	\$ 41.38
11-Dec-20	10-Dec-20	W.A. Library Supplie	Labels	\$ 12.00
11-Dec-20	10-Dec-20	W.A. Library Supplie	Labels	\$ 52.05
11-Dec-20	10-Dec-20	Cti Logistics Ltd	WSLG freight between libraries	\$ 343.04
11-Dec-20	11-Dec-20	Martineaus Patisseri	Events - children school holiday program	\$ 82.50
14-Dec-20	14-Dec-20	Coles 0299	Event catering	\$ 7.20
18-Dec-20	18-Dec-20	Coles 0299	Tissues	\$ 8.80
18-Dec-20	18-Dec-20	Claremont Newsagency	Diary 2021	\$ 14.75
21-Dec-20	18-Dec-20	Magshoponline	Magazine subscriptions	\$ 64.95
22-Dec-20	22-Dec-20	Coles 0299	Morning tea supplies	\$ 2.25
29-Dec-20	23-Dec-20	Apple.Com/Bill	Icloud 50G plan	\$ 1.49
			Total AUD	\$ 1,796.20

**Manager Aquatic Centre**

Posting Date	Tran Date	Supplier	Narrative Details	Amount
30-Nov-20	26-Nov-20	Bunnings 483000	Paint for building render	\$ 63.80
2-Dec-20	30-Nov-20	Bunnings 483000	Mounting tape	\$ 10.95
2-Dec-20	30-Nov-20	Bunnings 483000	Wall plugs	\$ 28.16
2-Dec-20	2-Dec-20	Kmart 1096	Swim shop stock purchase	\$ 40.00
4-Dec-20	2-Dec-20	Bunnings 483000	Caution tape and grounds equipment supplies	\$ 167.04
4-Dec-20	3-Dec-20	Foodies Market Clare	Staff room milk	\$ 11.95
4-Dec-20	3-Dec-20	Dive & Fish Australia	Breathing apparatus cylinder refill	\$ 24.00
9-Dec-20	7-Dec-20	Red Dot Stores Armadal	Family fun day give away items	\$ 161.98
9-Dec-20	9-Dec-20	Coles 0299	Family fun day lollies for prizes	\$ 193.60
10-Dec-20	8-Dec-20	Bunnings 483000	Barbecue cleaning products	\$ 42.00
10-Dec-20	8-Dec-20	Rebel Claremont	Centre event land games	\$ 95.97
10-Dec-20	10-Dec-20	Coles 0299	Swim shop stock purchase	\$ 112.77
11-Dec-20	9-Dec-20	Rebel Claremont	Centre event land games	\$ 219.97
14-Dec-20	13-Dec-20	Magic Touch Face Paint	Family fun day face painting	\$ 360.00
14-Dec-20	14-Dec-20	Coles 0299	Staff room milk	\$ 22.06
15-Dec-20	14-Dec-20	Dive & Fish Australia	Breathing apparatus cylinder refill	\$ 24.00
16-Dec-20	14-Dec-20	Bunnings 483000	Barbecue gas cylinder refill	\$ 19.95
18-Dec-20	18-Dec-20	Officeworks 0622	Office table for banking	\$ 174.98
21-Dec-20	18-Dec-20	Bunnings 483000	Repair damaged splash pad floor fitting	\$ 120.96
22-Dec-20	22-Dec-20	Woolworths 4356	Staff room milk	\$ 15.80
22-Dec-20	22-Dec-20	Coles Express 6902	Ice for ice packs	\$ 20.00
24-Dec-20	22-Dec-20	Dive & Fish Australia	Refill breathing apparatus cylinder	\$ 40.00
24-Dec-20	22-Dec-20	Stirling Drive In	First aid equipment	\$ 47.90
29-Dec-20	22-Dec-20	Bunnings 368000	Replace damaged saw blade	\$ 6.49
			Total AUD	\$ 2,024.33












**Manager Finance**

Posting Date	Tran Date	Supplier	Narrative Details	Amount
7-Dec-20	4-Dec-20	Secure Parking - 164-1	Procurement Officer parking at WALGA	\$ 9.23
			Total AUD	\$ 9.23
			<b>Total</b>	<b>\$ 13,264.04</b>



**13.1.2 POLICY MANUAL REVIEW****File Number:** COM/00032, D-20-42306**Author:** Bree Websdale, Director Governance and People**Authoriser:** Liz Ledger, Chief Executive Officer

**Attachments:**

1. LG533-Complaints Management Policy [↓](#) 
2. LG534- Risk Management Policy [↓](#) 
3. LG535- Legislative Compliance [↓](#) 
4. LG536- Public Interest Disclosure [↓](#) 
5. LG537- Fraud Prevention Policy [↓](#) 
6. LG509- Purchasing Policy (with tracked changes) [↓](#) 
7. LG509- Purchasing Policy [↓](#) 
8. LG512- Corporate Purchasing Cards (with tracked changes) [↓](#) 
9. LG512- Corporate Purchasing Cards [↓](#) 
10. LG530- Bank Accounts (with tracked changes) [↓](#) 
11. LG 530- Bank Accounts [↓](#) 

**PURPOSE**

For Council to consider and adopt a number of new policies and consider amendments to existing Finance policies.

**BACKGROUND**

The adoption of appropriate policies aligns with the objectives of the *Local Government Act* 1995 to achieve:

1. better decision-making by local governments; and
2. greater community participation in the decisions and affairs of local governments; and
3. greater accountability of local governments to their communities; and
4. more efficient and effective local government.

Policies are corporate statements issued under authority of the Council that some parameters for decision-making in order to ensure an organisation's thought processes predictable and consistent.

One of the findings from Avant Edge Consulting was that the Town's policy manual was missing a number of key policies.

<i>Finding 14: Need to Update the Town Policy Manual</i>	<i>Recommendation</i>
<p>The policy manual does not provide appropriate policy guidance in regards to the following key processes:</p> <ul style="list-style-type: none"> <li>• Complaints Management</li> <li>• Risk Management</li> <li>• Cash Receipting and Banking</li> <li>• Legislative Compliance</li> </ul>	<p>The Town, via the Governance unit review the Town's Policy Manual to include the following processes and any other policies that have been identified as part of this review report that need to be included in the Town's Policy Manual.</p> <ul style="list-style-type: none"> <li>• Complaints Management</li> <li>• Risk Management</li> <li>• Cash Receipting and Banking.</li> <li>• Legislative Compliance.</li> </ul>

<i>Finding 2: Need to Develop a Fraud Prevention Policy</i>	<i>Recommendation</i>
<p>The Town does not currently have in place a “Fraud Prevention Policy” or a “Whistle blower Policy”. Such a policy would outline the importance and responsibility that all staff have in the Town have in ensuring that fraud is prevented through proper adherence and compliance with existing management controls“.</p> <p>We understand that the Town is currently in the process of developing such policies</p>	<p>The Town develop a formal “Fraud Prevention Policy” and guidelines to empower staff prevent the occurrence of fraud and to report suspected fraud.</p> <p>The Town also give consideration to developing a “Whistle Blower Policy” and guidelines in order to protect staff confidentiality when staff need to report suspected fraudulent activity.</p>

## DISCUSSION

The following policies have been prepared for adoption by Council:

- LG533 – Complaints Management (see Attachment 1).
- LG534 – Risk Management (see Attachment 2).
- LG535- Legislative Compliance (see Attachment 3).
- LG536 – Public Interest Disclosure (see Attachment 4).
- LG537 – Fraud Prevention (see Attachment 5).

These policies provide the policy guidance recommended in the Regulation 17 report.

A detailed review of the entire policy manual is in progress and will be presented to Council before 30 June 2021.

The following policies have been reviewed and amendments are proposed:

- LG509 – Procurement now called Purchasing to align with terminology used in the *Local Government Act* 1995 and Regulations (see Attachment 6 which shows tracked changes and Attachment 7 which is a clean version). This policy has been rewritten to make it more concise and easier for employees to read and understand including the addition of definitions, a simplified purchasing threshold table. The tendering threshold has been increased to \$250,000 to reflect the changes to the *Local Government Act* 1995 and Regulations. Additional exemptions have been provided including:
  - provision of services from WALGA and LGIS;
  - newspaper advertising;
  - purchases for maintenance of equipment from Original Equipment Manufacturer (OEMs) and where warranty provisions may be void; and
  - purchases of urgent or unique nature or where exceptional circumstances arise and it is considered in the best interest of the Town, an exemption may be granted by the CEO. When exercised Council is to be advised.
- LG512- Corporate Purchasing Cards (see Attachment 8 which shows tracked changes and Attachment 9 which is a clean version). This policy is largely unchanged other than the removal of “*The CEO and Directors are authorised to use their respective his card for the purpose of business entertainment*” and the addition of “*Cardholders must not obtain personal benefit from the use of the cards, including receipt of frequent flyer points or other reward schemes*”.

- LG530- Bank Accounts and Payments now called Bank Accounts (see Attachment 10 which shows tracked changes and Attachment 11 which is a clean version). This policy addresses bank accounts and signatories. This policy has been amended at (2) to remove “to up to \$75,000” and allow the Manager of Finance to be a signatory for transactions up to \$150,000. The policy now refers to work procedures, Accounts payable and payment listing report procedure.

The above policies were provided to the Audit and Risk Management Committee at their meeting on 5 February 2021. All comments and suggestions from the Committee members have been adopted.

## **PAST RESOLUTIONS**

Ordinary Council Meeting, 18 December 2018, Resolution 228/18

That Council:

1. Endorse the proposed changes to the Town Policy Manual, as presented in Attachment 1 and Attachment 2.
2. Adopt the updated Town of Claremont Policy Manual, as presented in Attachment 3.

CARRIED  
(NO DISSENT)

## **FINANCIAL AND STAFF IMPLICATIONS**

Resource requirements are in accordance with existing budgetary allocation.

## **POLICY AND STATUTORY IMPLICATIONS**

*Local Government Act 1995*

*Local Government (Audit) Regulations 1996*

## **COMMUNICATION / CONSULTATION**

In reviewing the policies relevant business units, executive team and Chief Executive Officer were consulted.

These reviewed policies were then presented to the Audit and Risk Management Committee at its meeting on Friday 5 February 2021. Feedback from the Committee members has been included to produce and present these final policies to Council.

## **STRATEGIC COMMUNITY PLAN**

### **Leadership and Governance**

*We are an open and accountable local government; a leader in community service standards.*

- Demonstrate a high standard of governance, accountability, management and strategic planning.
- Continually assess our performance and implement initiatives that drive continuous improvement.

## **URGENCY**

Nil

**VOTING REQUIREMENTS**

Simple Majority decision of Council (*More than half the elected members present are required to vote in favour*).

**OFFICER RECOMMENDATION**

**That Council:**

1. **Adopt the policies (LG 533 – Complaints Management, LG 534 – Risk Management, LG 535- Legislative Compliance, LG536 – Public Interest Disclosure and LG537 – Fraud Prevention) as presented in Attachments 1, 2, 3, 4 and 5 for inclusion in the Policy Manual.**
2. **Adopt the policies (LG509- Purchasing, LG512-Corporate Purchasing Cards and LG530-Bank Accounts) as presented in Attachments 7, 9 and 11 for inclusion in the Policy Manual.**

	<b>LG533</b> <b>COMPLAINTS MANAGEMENT</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> Nil

### Purpose

The purpose of this policy is:

1. Demonstrate the Town of Claremont's (**Town**) commitment to receiving, acknowledging and resolving complaints in order to improve service provision.
2. To develop a structured and systematic approach to dealing with complaints.
3. To provide guidance and set out expectations in relation to the Town's complaints management approach.

### Definition

Complaint means an expression of dissatisfaction with the Town, a level of service, a lack of promised service or response, or the conduct of a person employed by or representing the Town, which is not anonymous, made to the Town through its Elected Members, Chief Executive Officer or any of its employees in writing or verbally, where a response or resolution is explicitly or implicitly expected.

### Policy

The Town Code of Conduct and Customer Experience Charter detail expectations in relation to employee behavior and levels of service.

The Town will support and promote a culture where complaints are seen as opportunities to learn and improve service delivery. The Town's approach to managing complaints will be as follows:

- Complaints will remain confidential wherever possible and respectful of a person's privacy.
- Complaints are to be processed within the time frames specified in the Customer Experience Charter.
- Focused on the complainant with visible and accessible contact points provided for complaints.
- Accountable and transparent.
- Responsive and empathetic.
- Objective, fair and neutral.

- Outcome focused and ensure the complainant is involved in the process.
- Free of reprisals against any person involved in the complaint management process.
- The complainant will be kept aware of the progress of a complaint throughout the complaints process; where a complaint has come via an Elected Member, the Town will ensure that the Elected Member is made aware of the progress or outcome of the complaint.
- To monitor and track any trends in complaints. The CEO will report on complaints management to the Audit and Risk Management Committee at least bi-annually.
- To provide training to employees in complaints management.
- All correspondence relating to a complaint will be recorded within the Town's records management system.

The Town may refuse to investigate a complaint or may respond to the complainant outside of the Customer Experience Charter timeframes:

- If in the opinion of the Chief Executive Officer a complaint is trivial, frivolous and/or vexatious.
- The complainant is abusive, aggressive, rude, angry, harassing and/or hostile.

The substance of a complaint will dictate the resources allocated by the Town to the complaint.

The Town may determine to take one of the following courses of action:

- Take no further action and advise the complainant of the reason/s.
- Resolve the complaint by use of appropriate strategies such as, but not limited to, mediation, informal discussion or negotiation.
- Discontinue the assessment in circumstances where it becomes evident that the matter should be referred to another body or person and advise the complainant accordingly.

If a complainant is not satisfied with the way that the Town has handled their initial complaint then they may apply for an internal review of the complaint. The reviewing officer will be senior to the initial officer and will reconsider the decision reached, taking all relevant matters into account.

### Legislation

Nil

### Relevant Procedures, Policies and Other Documents

Code of Conduct  
Customer Experience Charter  
Online Complaint Form

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		



	<b>LG534</b> <b>RISK MANAGEMENT</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Governance and People  <b>Relevant Council Delegation</b> Nil

### Purpose

The purpose of this policy is to articulate the Town of Claremont's (**the Town**) commitment to:

1. Identifying and responding to potential risks so that impacts can be minimised and opportunities realised.
2. Ensuring that the Town achieves its strategic and corporate objectives efficiently, effectively whilst following and upholding good corporate governance principles.

### Definitions

Risk is defined as the "effect of uncertainty on objectives".

Risk Management is defined as "co-ordinated activities to direct and control an organisation with regard to risk".

Integrated Risk Management Framework is defined as "set of components that provide the foundations and organisational arrangements for designing, implementing, reviewing and continually improving risk management throughout the organisation".

### Policy

The Town will implement a coordinated approach to managing risks by:

- Implementing an integrated risk management framework based on the AS/NZ ISO 31000.
- Ensuring risk management functions are resourced appropriately to meet the size and scale of the Town's operations.
- Ensuring the Town's strategic and operational planning activities are aligned with the integrated risk management framework.
- Embedding risk management activities across the Town's operations.
- Requiring all identified risks to be assessed according to the Town's integrated risk management framework to ensure consistency and informed decision making. Where operational requirements



require alternative risk assessment criteria these cannot exceed the Town's risk appetite and are to be noted within the individual risk assessment.

- Encouraging and supporting a culture of risk based decision making directed towards the effective management of potential opportunities and reduction of potential impacts of risk.
- Implementing regular risk review and periodic reporting to the CEO and Audit and Risk Management Committee.

### Legislation

*Local Government (Audit) Regulations 1996*

### Relevant Procedures, Policies and Other Documents

AS/NZS ISO 31000:2018 Risk Management – Guidelines  
Integrated Risk Management Framework (Internal)  
Integrated Risk Register (Internal)

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		

	<b>LG535</b> <b>LEGISLATIVE COMPLIANCE</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Governance and People  <b>Council Delegation</b> Nil

### Purpose

The purpose of this policy is to outline the Town of Claremont's (**the Town**):

1. Commitment to complying with all legislative requirements contained within the *Local Government Act 1995*, corresponding Local Government Regulations and other legislation applicable to all areas of its operations.
2. Support for the development of systems and processes to assist with legislative compliance and the creation of a compliance culture.

### Policy

The Town will strive for legislative compliance by:

- Providing sufficient resources relative to the size and scale of the Town's operations.
- Ensuring at least an annual review of the compliance management calendar to ensure the key legislative provisions are current.
- Periodic refining of the compliance management calendar to ensure it accurately records the employee or business unit who is responsible for compliance and the measures undertaken to achieve compliance.
- Integration of compliance requirements into day-to-day operations.
- Encouraging and supporting a culture of compliance and continuous improvement.
- Providing induction and ongoing education and training to ensure employees understand their compliance obligations.
- Providing employees with the resources, training and development programs to identify and remain up to date with new legislation.
- Periodic internal auditing of compliance activities.
- Regular reporting on key compliance obligations and compliance activities to management team, executive team, committees and Council.
- Establishing a mechanism for reporting non-compliance.
- Creating and improving processes to detect non-compliance.
- Identifying and where possible remedying instances of non-compliance.
- Reviewing instances of non-compliance to assess how the systems of compliance can be improved.

### Legislation

Local Government Act 1995 and all associated Regulations  
Various legislation

### Relevant Procedures, Policies and Other Documents

Compliance Management Calendar  
Code of Conduct  
Australian Standard AS 19600-2015: Compliance Management Systems- Guidelines  
Risk Management Policy  
Integrated Risk Management Framework

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		

	<b>LG536</b> <b>PUBLIC INTEREST DISCLOSURE</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Governance and People  <b>Council Delegation</b> Nil

### Purpose

The purpose of this policy is to demonstrate the Town of Claremont's (**the Town**) commitment to developing, implementing and maintaining a governance program for public interest disclosures (**PIDs**).

### Policy

The Town is committed to the aims and objectives of the *Public Interest Disclosure Act 2003* and will:

- Ensure it has at least one designated PID Officer who is qualified to or will be provided training to undertake that role.
- Assist those making disclosures to understand their rights and responsibilities and the available protection under the *Public Interest Disclosure Act 2003*.
- Cultivate a culture that does not tolerate corruption or other improper conduct.
- Encouraging Elected Members and employees to disclose information about suspected wrongdoing through awareness and training initiatives.

### Legislation

*Public Sector Management Act 1994*

*Public Interest Disclosure Act 2003*

*Corruption and Crime Commission Amendment (Misconduct) Act 2014*

### Relevant Procedures, Policies and Other Documents

Code of Conduct

Integrated Risk Management Framework

Governance Framework

LG537 Fraud Prevention Policy

Public Interest Disclosure Lodgement Form

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting
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		<b>Resolution Number</b>
Adopted (New)		

	<b>LG537</b> <b>FRAUD PREVENTION</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Governance and People  <b>Council Delegation</b> Nil

### Purpose

The purpose of this policy is to articulate the Town of Claremont's (**the Town**):

1. Commitment to integrity and zero tolerance of fraud, corruption and bribery in all forms.
2. Support for the development of systems and processes to obstruct fraudulent activities, ensure adequate oversight, separation of duties, detection, identification and reporting of breaches.
3. Requirement that all Elected Members, committee members and employees are accountable and behave with integrity, ethically and honestly when performing their duties and during their interactions with stakeholders.

### Policy

To support this vision the Town will implement a coordinated approach to manage the risk of fraud by:

- Assessing fraud risks across the organisation.
- Support the development of systems and processes to obstruct fraudulent activities, ensure adequate oversight, separation of duties, detection, identification and reporting of breaches.
- Developing a Fraud and Corruption Control Plan and reviewing it at least every 2 years.
- Developing and implementing a periodic fraud awareness and prevention training program for employees and Elected Members.
- Ensuring that all conflicts of interest and financial interests are disclosed, recorded and assessed.
- Creating a strong ethical culture that sets the standard of behaviour, including the identification of fraud risks and reporting mechanisms and obligations to act accordingly.
- Ensuring clear internal processes and systems to report any potential fraud, including anonymous reporting.
- Periodic reporting to the CEO and Audit and Risk Management Committee.
- Investigating all identified or suspected fraudulent or corrupt conduct.
- Ensuring appropriate reporting, disciplinary action, prosecution and recovery actions are initiated by the Town.
- Collecting and analysing information received about potential fraud to identify any trends or emerging issues.
- Maintaining policies and procedures to verify the identity and integrity of employees, contractors and suppliers.

This policy, in conjunction with the Code of Conduct, the Integrated Risk Management Framework and the Public Interest Disclosure policy aligns with the Town's corporate culture and values to prevent, detect and respond to potential or actual fraud and misconduct and minimise risks to the Town, its people and its assets.

### Legislation

*Local Government Act 1995*  
*Local Government (Rules of Conduct) Regulations 2007*  
*Local Government (Financial Management) Regulations 1996*  
*Local Government (Audit) Regulations 2007*  
*Local Government (Administration) Regulations 2007*  
*Local Government (Functions and General) Regulations 1996*

### Relevant Procedures, Policies and Other Documents

Code of Conduct  
Integrated Risk Management Framework  
LG536 Public Interest Disclosure Policy  
Gifts and Entertainment Policy  
LG509 Purchasing Policy  
LG512 Corporate Purchasing Cards  
Human Resources recruitment and selection guidelines

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted (New)		

	<b>LG509 PURCHASING</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> Nil

#### Purpose

The ~~objectives-purpose~~ of this policy ~~are-is~~ to demonstrate the Town of Claremont's (the Town) ~~commitment to ensuring~~ that all purchasing activities:

1. ~~Achieve demonstrate that~~ best value for money ~~is attained for the Town.~~
2. ~~Are~~ compliant with ~~all~~ relevant ~~legislatio~~legislation and regulatory obligations~~n,s~~, including the Act and Regulations
3. ~~are recorded in compliance with the State Records Act 2000 and associated records management practices and procedures of the Town;~~
- 4.3. ~~Mitigate~~ probity risk, by establishing consistent and demonstrated ~~administrative~~ processes that promote ~~openness, transparency and~~ fairness, ~~and equity to all potential suppliers;~~

#### Definitions

Act means the *Local Government Act 1995*.

Purchase Value Threshold means the actual or expected value of a contract over the full contract period, including any options.

Pre-qualified panel of suppliers includes a supplier approved through the WALGA preferred supply program or State Government CUA.

Regulations means the *Local Government (Functions and General) Regulations 1996*.

RFT means Request for Tender.

RFQ means Request for Quotation.

WALGA means Western Australian Local Government Association.

#### Policy



The Town is committed to delivering best practice in the purchasing of goods, services and works activities that aligns with the principles of transparency, probity and good governance, and compliance with the following principles, standards and behaviours must be observed and enforced through all stages of the purchasing process to ensure the fair and equitable treatment of all parties:

- All purchasing practices shall comply with all relevant legislation, regulations, and requirements
  - consistent with All Town's Policies and the Code of Conduct must be followed.
  - Purchasing is to be undertaken on a competitive basis where all potential suppliers are treated impartially, honestly and consistently.
  - Purchasing is to be carried out to deliver the most advantageous outcome for the Town.
  - Purchasing is to be carried out in accordance with approved budget provisions.
  - All processes, evaluations and decisions shall be transparent, free from bias, merit based and fully documented in accordance with applicable policies, practices and procedures, and audit requirements.
  - All Elected members and employees of the Town must act in an honest and professional manner at all times which supports the standing of the Town. Full accountability shall be taken by Elected Members and employees for all purchasing decisions, and the efficient, effective and proper expenditure of public monies based on achieving value for money.
  - Any actual or perceived conflicts of interest are to be identified, disclosed and appropriately managed.
  - With respect to RFQ and RFTs all employees are expected to demonstrate due diligence in seeking quotations. The number of quotations obtained, the contract conditions and level of evaluation required should be determined by having regard to the type and nature of the purchase and the associated risk, and not purely the purchase value as set out in the purchasing threshold table.
  - Employees must only undertake purchasing activities within their authorised limit.
- any information provided to the Town's by a supplier shall be treated as commercial in confidence and should not be released unless authorised by the supplier or relevant legislation.  
Procurement processes and practices to be complied with are defined within this Policy and Policy and the Town's prescribed procurement procedures.

#### Ethics and Integrity

##### Code of Conduct

All officers and employees of the Town undertaking purchasing activities must have regard for the Town Code of Conduct and its requirements and shall observe the highest standards of ethics and integrity.

#### Purchasing Thresholds and Practices

The table below prescribes the minimum purchasing process that the Town must be followed:

Purchase Value Threshold (excluding GST)	Purchasing Requirements
Up to \$1,000	Obtain at least one (1) oral or written quotation, from a suitable supplier, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government Common Use Arrangement (CUA); or the open market.
Over \$1,000 and \$1,000 up to \$5,000	Obtain at least two oral or written quotation from a suitable supplier, either from a pre-qualified supplier on the WALGA Preferred Supply

	<p>Program or State Government CUA; or the open market.</p> <p>Obtain at least <del>two</del> <b>one (1)</b> oral or written quotation, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government Common Use Arrangement (CUA);</p> <p>OR</p> <p>Obtain at least two oral or written quotations from a suitable supplier from the open market.</p>
Over \$5,000 and up to \$15,000	Obtain at least <del>three</del> <b>two (2)</b> oral or written quotations from suppliers following <u>issue of</u> a brief outlining the specified requirement, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA; or the open market.
Over \$15,000 and up to \$50,000	Obtain at least <b>three (3)</b> written quotations from suppliers following <u>issue of</u> a brief outlining the specified requirement, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA; or the open market.
Over \$50,000 and up to \$ <del>150,000</del>	<p>A formal RFQ process must be followed in accordance with the Act and the Regulations.</p> <p><u>Obtain At least three (3) written quotations must be obtained.</u></p> <p>from suppliers by formal invitation under a Request for Quotation, following issue of a Request for Quotation outlining the specified goods or services required, either from a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA; or the open market, following completion of public advertising.</p> <p>Submissions as received are to contain containing price and detailed response to the specification of goods and services as required. The procurement decision is to be based on pre-determined evaluation criteria that assesses all value for money considerations in accordance with the definition stated within this Policy.</p> <p>Quotations within this threshold may be obtained from:</p> <p>a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA; or</p> <p>from the open market.</p> <p><u>REFQ Requests for quotation from a pre-qualified panel of suppliers (whether administered through the WALGA preferred supply program or State Government CUA) are not required to be invited using a RFQ request for Quotation form, however at least three (3) written quotes are still required to be obtained.</u></p>

Over \$150,000	Where the purchasing requirement is not tender-exempt arrangement as listed under section 5.7 of this Policy, or any other relevant legislation, the Town is to conduct a public Request for Tender process in accordance with Part 4 of the Local Government (Functions and General) Regulations 1996, this Policy and the Town's relevant tender procedures. The procurement decision arising from this Request for Tender is to be based on pre-determined evaluation criteria that assesses all value for money considerations in accordance with the definitions as stated within this Policy.	Formatted: Font:
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Over \$250,000	A formal RFT process must be followed in accordance with the Act and the Regulations subject to the exceptions in Regulation 11(2) and as set out within this policy. Where the purchasing requirement is not tender-exempt arrangement as listed under section 5.7 of this Policy, or any other relevant legislation, the Town is to conduct a public Request for Tender process in accordance with Part 4 of the Local Government (Functions and General) Regulations 1996, this Policy and the Town's relevant tender procedures. The procurement decision arising from this Request for Tender is to be based on pre-determined evaluation criteria that assesses all value for money considerations in accordance with the definitions as stated within this Policy.
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#### Purchasing exemptions under \$250,000

The following exemptions where the Town is not required to undertake a competitive purchasing process and where the total value of the purchase does not exceed \$250,000 include:

- Emergency Purchases;
- Purchases where there is a sole source of supply;
- Services of WALGA and LGIS;
- Services of government entities including, but not limited to Federal, State, Local government entities, and Government Trading Enterprises (GTE's);
- Newspaper advertising (or online equivalent);
- Advance / Prior Payment of Services (for example: accommodation, travel services, entertainment, conferences, seminars, Memberships, Subscriptions, training courses);
- Annual Services / Software maintenance / Support Fees;
- Fuels and Oils;
- Provision of utility services;
- Reimbursements.

- Purchases for maintenance of equipment from Original Equipment Manufacturer (OEMs) and where warranty provisions may be void;
- Purchases of urgent or unique nature or where exceptional circumstances arise and it is considered in the best interest of the Town, an exemption may be granted by the CEO. When exercised Council is to be advised.

#### Emergency Purchases

An emergency purchase is defined as an unanticipated and unbudgeted purchase which is required in response to an emergency situation as provided for in the Act. In such instances, quotes and tenders are not required to be obtained prior to the purchase being undertaken.

An emergency purchase does not relate to purchases not planned due to time constraints. Every effort must be made to anticipate purchases required by the Town in advance and to allow sufficient time to obtain quotes and tenders, whichever may apply.

#### Sole Source of Supply

Where the purchasing requirement is over the value of \$5,000 and of such a unique nature that it can only be supplied from one supplier, the purchase is permitted without the requirement to obtain quotes, undertake a tender or quotation process. This is only permitted in circumstances where the Town is satisfied and can provide evidence that there is only one source of supply for those goods, services or works. The Town must use its best endeavours to determine if the sole source of supply is genuine by exploring if there are any alternative sources of supply. Once determined, the justification for the Sole Source of Supply must be endorsed by the relevant Director, prior to a contract being entered into.

#### 2.4 Preferred Supplier

The status of preferred suppliers will be subject to a non-exclusive Supply Agreement with a supplier who has demonstrated an ability to satisfy the Town's requirements, provides best value for money and appointment by the Town would be in the best interest of the Town. All Supply Agreements of \$20,000 or less per annum shall be approved by the relevant Director in accordance with their authorisation limit. Agreement greater than \$20,000 per annum must be approved in writing by the Chief Executive Officer.

#### Panels of Pre-qualified Suppliers

The Town may consider creating a Panel of Pre-qualified Suppliers ("Panel") when a range of similar goods and services are required to be purchased on a continuing and regular basis and it is advantageous to use multiple suppliers. Should the Town determine that a Panel is beneficial to be created, it must do so in accordance with Part 4, Division 3 of the Regulations.

#### Expressions of Interest

Expressions of Interest (EOI) may be considered in situations where the project is of a significant value or contains significant complexity of project delivery that may solicit responses from a considerable range of industry providers. In these cases, the Town may conduct an EOI process, preliminary to any request for Tender process, where the procurement requirement is:

- Unable to be sufficiently scoped or specified;

- Open to multiple options for how the purchasing requirement may be obtained, specified, created or delivered;
- Subject to a creative element; or
- To establish a procurement methodology that allows for an assessment of a significant number of tenderers leading to a shortlisting process based on non-price assessment criteria.

EOI processes are to be conducted in line with Part 4, Division 2 of the Regulations.

### Purchasing Principles

#### **Value for Money**

##### 1.1 Policy

'Value for Money' is determined when the consideration of price, risk, timeliness, environmental, social and qualitative factors ~~that~~ are assessed to determine the most advantageous outcome to be achieved for the Town.

The Town will apply value for money principles when assessing purchasing decisions and acknowledges the lowest price may not always be the most advantageous. Other factors including qualitative and risk criteria will also be given consideration into the decision. As such, purchasing decisions must be made with greater consideration than simply obtaining the lowest price, but must also to incorporate also incorporate qualitative and risk factors into the decision.

##### 1.2 1.3 Application

An assessment of the best value for money outcome for any purchasing process should consider:

- All relevant Total Costs of Ownership ('TCO') and benefits including transactional costs associated with acquisition, delivery, distribution, as well as other costs such as but not limited to holding costs, consumables, deployment, maintenance and disposal.
  - ~~The technical merits of the goods or services being offered. in terms of compliance with specifications, contractual terms and conditions and any relevant methods of assuring quality, including but not limited to an assessment of levels and currency of compliances, value adds offered, warranties, guarantees, repair and replacement policies, ease of inspection, ease of after sales service, ease of communications etc.~~
  - Financial viability and capacity to supply without risk of default. ~~(competency of the prospective suppliers in terms of managerial and technical capabilities and compliance history)~~
  - A strong element of competition in the allocation of orders or the awarding of contracts. ~~This is achieved by obtaining a sufficient number of competitive quotations wherever practicable~~
  - The safety requirements associated with both the product design and specification offered by suppliers and the evaluation of risk when considering purchasing goods and services from suppliers.
- ~~2. purchasing of goods and services from suppliers that demonstrate sustainable benefits and good corporate social responsibility, and~~
- ~~providing opportunities for businesses within the Town's boundaries to be given the opportunity to quote for providing goods and services wherever possible.~~

#### **Sustainable Procurement and Corporate Social Responsible Directorate Responsibility**





Only the issuing of a purchase order number, other than payment by corporate purchase card, is confirmation that the purchase has been authorised by the Town of Claremont;

### 3.6 Other Purchasing exemptions under \$250,000

The following exemptions where the Town is not required to undertake a competitive purchasing process (as detailed in 3.7 of this Policy) and where the total value of the purchase does not exceed \$250,000 include:

- Services of WALGA and LGIS;
  - Services of government entities including, but not limited to Federal, State, Local government entities, and Government Trading Enterprises (GTE's);
  - Where for various reasons it is considered in the best interest of the Town to undertake procurement activities which are not provided for by this policy, an officer may:
    - Recommend to the CEO reasons to undertake unique or urgent expenditure in accordance with relevant approved operating procedures;
    - CEO to evaluate the recommendation for unique and urgent expenditure in accordance with relevant approved operating procedures; and
    - Details of the procurement activity are to be reported to Council at the next available meeting;
  - Advertising;
  - Annual Memberships / Subscriptions;
  - Annual Services / Software maintenance / Support Fees;
  - Fuels and Oils;
  - Provision of utility services; and
  - Purchases for maintenance of equipment from Original Equipment Manufacturer (OEMs) and where warranty provisions may be void.
- The raising of a purchase order does not apply to those circumstances where;
- The acquisition of goods and services are obtained from a sole supplier,
  - The value of the goods and services is not possible to confirm until receipt of an invoice.
- Examples of such circumstances include (but are not limited to):
- Motor Vehicle licensing, registration and stamp duties
  - Postal charges (Australia Post);
  - Insurance excesses
  - Utility fees and charges
  - Where purchase by corporate purchasing card is not available, and reimbursement of expenses to officer is required
  - Refunds

### Local Economic Benefit

Under the State Government's Buy Local Policy, Government Agencies and Local Governments, including the Town, are encouraged to maximise participation of local and small businesses in the supply of goods, services and works. As much as practicable, the Town will:

- Where appropriate, consider buying practices, procedures and specifications that do not unfairly disadvantage local businesses.
- Consider indirect benefits that have flow on benefits for local suppliers (i.e. servicing and support).

- Ensure that procurement plans address local business capability and local content.
- Explore the capability of local businesses to meet requirements and ensure that Requests for Quotation and Tenders are designed to accommodate the capabilities of local businesses.
- Avoid bias in the design and specifications for Requests for Quotation and Tenders – all Requests must be structured to encourage local businesses to bid.
- Provide adequate and consistent information to potential suppliers.

#### Tendering Exemptions

An exemption to publicly invite tenders may apply in the following instances:

1. ~~the purchase is obtained from a pre-qualified supplier under the WALGA Preferred Supply Program or State Government Common Use Arrangement~~
2. ~~the purchase is from a Regional Local Government or another Local Government~~

~~Where the purchasing requirement is over the value of \$1,000 and of such a unique nature that it can only be supplied from one supplier, the purchase is permitted without the requirement to undertake a tender or quotation process. This is only permitted in circumstances where the Town is satisfied and can provide evidence that there is only one source of supply for those goods, services or works. The Town must use its best endeavours to determine if the sole source of supply is genuine by exploring if there are any alternative sources of supply. Once determined, the justification for the Sole Source of Supply must be endorsed by the relevant Director, prior to a contract being entered into.~~

~~From time to time, the Town may publicly invite an expression of interest to effectively determine that one sole source of supply still genuinely exists in respect to the provision of any good or service.~~

3. ~~the purchase is acquired from a person registered on the WA Aboriginal Business Directory, as published by the Small Business Development Corporation, where the consideration under contract is worth \$250,000 or less and represents value for money.~~
4. ~~the purchase is acquired from an Australian Disability Enterprise and represents value for money.~~

~~2.2 if any of the other exclusions under Regulation 11 of the Regulations apply.~~  
~~3.8 Inviting Tenders Under the Tender Threshold~~

~~2.3 Where considered appropriate and beneficial, the Town may consider publicly advertising Tenders in lieu of undertaking a Request for Quotation for purchases under the tender threshold. This decision should be made after considering the benefits of this approach in comparison with the costs, risks, and timeliness of the outcome and compliance requirements and also whether the purchasing requirement can be met through the WALGA Preferred Supply Program or State Government CUA.~~

~~2.4 If a decision is made to undertake a public Tender for contracts expected to be~~



~~To this extent, a qualitative weighting may be afforded in the evaluation of quotes and tenders where suppliers are located within the boundaries of the Town, or substantially demonstrate a benefit or contribution to the local economy.~~

#### ~~4. Purchasing From Disability Enterprises~~

~~Pursuant to Part 4 of the Local Government (Functions and General) Regulations 1996, the Town is not required to publicly invite tenders if the goods or services are to be supplied from an Australian Disability Enterprise, as registered on. This is contingent on the demonstration of value for money.~~

~~Where possible, Australian Disability Enterprises are to be invited to quote for supplying goods and services under the tender threshold. A qualitative weighting may be afforded in the evaluation of quotes and tenders to provide advantages to Australian Disability Enterprises.~~

#### ~~5. Purchasing From Aboriginal Businesses~~

~~Pursuant to Part 4 of the Local Government (Functions and General) Regulations 1996, the Town is not required to publicly invite tenders if the goods or services are to be supplied from a person registered on the Aboriginal Business Directory published by the Small Business Development Corporation on where the expected consideration under contract is worth~~

~~\$250,000 or less. This is contingent on the demonstration of value for money.~~

~~Where possible, Aboriginal businesses are to be invited to quote for supplying goods and services under the tender threshold. A qualitative weighting may be afforded in the evaluation of quotes and tenders to provide advantages to Aboriginal owned businesses, or businesses that demonstrate a high level of aboriginal employment.~~

#### **Legislation**

Local Government Act 1995

Local Government (Functions and General) Regulations 1996

State Records Act 2000 (WA)

#### **Relevant Procedures, Policies and Other Documents**

Purchasing Practice Guide

#### **Policy Adoption and Amendment History**

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted	862/99	26/10/1999
Reviewed	536/03	16/12/2003
Reviewed	202/07	17/07/2007
Modified	210/10	05/10/2010
Modified	23/12	06/03/2012
Reviewed	360/13	10/12/2013
Reviewed	203/14	09/12/2014
Reviewed	226/15	15/12/2015
Modified	121/16	02/08/2016
Reviewed	206/16	13/12/2016
Modified	228/18	18/12/2018
Reviewed		

	<b>LG509</b> <b>PURCHASING</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> Nil

### Purpose

The purpose of this policy is to demonstrate the Town of Claremont's (**the Town**) commitment to ensuring that all purchasing activities:

1. Achieve best value for money.
2. Are compliant with all relevant legislation and regulatory obligations.
3. Mitigate probity risk, by establishing consistent and demonstrated processes that promote transparency and fairness.

### Definitions

Act means the *Local Government Act 1995*.

Purchase Value Threshold means the actual or expected value of a contract over the full contract period, including any options.

Pre-qualified panel of suppliers includes a supplier approved through the WALGA preferred supply program or State Government CUA.

Regulations means the *Local Government (Functions and General) Regulations 1996*.

RFT means Request for Tender.

RFQ means Request for Quotation.

WALGA means Western Australian Local Government Association.

### Policy

The Town is committed to delivering best practice in purchasing activities that aligns with the principles of transparency, probity and good governance. The following principles must be observed through all stages of purchasing:

- All purchasing practices shall comply with all relevant legislation.

- All Town's Policies and the Code of Conduct must be followed.
- Purchasing is to be carried out to deliver the most advantageous outcome for the Town.
- Purchasing is to be carried out in accordance with approved budget provisions.
- All processes, evaluations and decisions shall be transparent, free from bias, merit based and fully documented in accordance with applicable policies, practices and procedures, and audit requirements.
- All employees of the Town must act in an honest and professional manner at all times which supports the standing of the Town. Full accountability shall be taken by employees for all purchasing decisions.
- Any actual or perceived conflicts of interest are to be identified, disclosed and appropriately managed.
- With respect to RFQ and RFTs all employees are expected to demonstrate due diligence in seeking quotations. The number of quotations obtained, the contract conditions and level of evaluation required should be determined by having regard to the type and nature of the purchase and the associated risk, and not purely the purchase value as set out in the purchasing threshold table.
- Employees must only undertake purchasing activities within their authorised limit.

### Purchasing Thresholds and Practices

The table below prescribes the minimum purchasing process that must be followed:

Purchase Value Threshold (excluding GST)	Purchasing Requirements
\$1,000 to \$5,000	Obtain at least <b>two (2)</b> oral or written quotation.
Over \$5,000 and up to \$15,000	Obtain at least <b>two (2)</b> oral or written quotations from suppliers following issue of a brief outlining the specified requirement.
Over \$15,000 and up to \$50,000	Obtain at least <b>three (3)</b> written quotations from suppliers following issue of a brief outlining the specified requirement.
Over \$50,000 and up to \$250,000	<p>A formal RFQ process must be followed in accordance with the Act and the Regulations.</p> <p>At least <b>three (3)</b> written quotations must be obtained.</p> <p>RFQ from a pre-qualified suppliers are not required to be invited using a RFQ , however at least three (3) written quotes are still required to be obtained.</p>
Over \$250,000	A formal RFT process must be followed in accordance with the Act and the Regulations subject to the exceptions in Regulation 11(2) and as set out within this policy.

**Purchasing exemptions under \$250,000**

The following exemptions where the Town is not required to undertake a competitive purchasing process and where the total value of the purchase does not exceed \$250,000 include:

- Emergency Purchases.
- Purchases where there is a sole source of supply.
- Services of WALGA and LGIS.
- Services of government entities including, but not limited to Federal, State, Local government entities, and Government Trading Enterprises (GTE's).
- Newspaper advertising (or online equivalent).
- Advance / Prior Payment of Services (for example: accommodation, travel services, entertainment, conferences, seminars, Memberships, Subscriptions, training courses).
- Annual Services / Software maintenance / Support Fees.
- Fuels and Oils.
- Provision of utility services.
- Reimbursements.
- Purchases for maintenance of equipment from Original Equipment Manufacturer (OEMs) and where warranty provisions may be void.
- Purchases of urgent or unique nature or where exceptional circumstances arise and it is considered in the best interest of the Town, an exemption may be granted by the CEO. When exercised Council is to be advised.

**Emergency Purchases**

An emergency purchase is defined as an unanticipated and unbudgeted purchase which is required in response to an emergency situation as provided for in the Act. An emergency purchase does not relate to purchases not planned due to time constraints.

**Sole Source of Supply**

Where the purchasing requirement is over the value of \$5,000 and of such a unique nature that it can only be supplied from one supplier, the purchase is permitted without the requirement to obtain quotes, undertake a tender or quotation process. This is only permitted in circumstances where the Town is satisfied and can provide evidence that there is only one source of supply for those goods, services or works. The Town must use its best endeavours to determine if the sole source of supply is genuine by exploring if there are any alternative sources of supply. Once determined, the justification for the Sole Source of Supply must be endorsed by the relevant Director, prior to a contract being entered into.

**Panels of Pre-qualified Suppliers**

The Town may consider creating a Panel of Pre-qualified Suppliers ("Panel") when a range of similar goods and services are required to be purchased on a continuing and regular basis and it is advantageous to use multiple suppliers. Should the Town determine that a Panel is beneficial to be created, it must do so in accordance with Part 4, Division 3 of the Regulations.

**Expressions of Interest**

Expressions of Interest (EOI) may be considered in situations where the project is of a significant value or contains significant complexity of project delivery that may solicit responses from a considerable range of industry providers. In these cases, the Town may conduct an EOI process, preliminary to any request for Tender process, where the procurement requirement is:

- Unable to be sufficiently scoped or specified;
- Open to multiple options for how the purchasing requirement may be obtained, specified, created or delivered;
- Subject to a creative element; or
- To establish a procurement methodology that allows for an assessment of a significant number of tenderers leading to a shortlisting process based on non-price assessment criteria.

EOI processes are to be conducted in line with Part 4, Division 2 of the Regulations.

**Purchasing Principles****Value for Money**

‘Value for Money’ is determined when the consideration of price, risk, timeliness, environmental, social and qualitative factors are assessed to determine the most advantageous outcome to be achieved for the Town.

The Town will apply value for money principles when assessing purchasing decisions and acknowledges the lowest price may not always be the most advantageous. Other factors including qualitative and risk criteria will also be given consideration into the decision.

An assessment of the best value for money outcome for any purchasing process should consider:

- All relevant Total Costs of Ownership (‘TCO’) and benefits including transactional costs associated with acquisition, delivery, distribution, as well as other costs such as but not limited to holding costs, consumables, deployment, maintenance and disposal.
- The technical merits of the goods or services being offered.
- Financial viability and capacity to supply without risk of default.
- A strong element of competition in the allocation of orders or the awarding of contracts.
- The safety requirements associated with both the product design and specification offered by suppliers and the evaluation of risk when considering purchasing goods and services from suppliers.

**Sustainable Procurement and Corporate Social Responsibility**

Where appropriate, the Town shall endeavour to provide an advantage to suppliers demonstrating that they minimise environmental and negative social impacts and embrace sustainable business practices and Corporate Social Responsibility. These considerations must be balanced against value for money outcomes.

**Anti-Avoidance**

The Town or its employees shall not, at any stage, seek to enter into two or more contracts or create

multiple purchase order transactions of a similar nature for the purpose of "splitting" the value of the purchase or contract in order to reduce the value of the consideration of the purchase below a particular purchasing threshold.

#### **Local Economic Benefit**

Under the State Government's Buy Local Policy, Government Agencies and Local Governments, including the Town, are encouraged to maximise participation of local and small businesses in the supply of goods, services and works. As much as practicable, the Town will:

- Where appropriate, consider buying practices, procedures and specifications that do not unfairly disadvantage local businesses.
- Consider indirect benefits that have flow on benefits for local suppliers (i.e. servicing and support).
- Ensure that procurement plans address local business capability and local content.
- Explore the capability of local businesses to meet requirements and ensure that Requests for Quotation and Tenders are designed to accommodate the capabilities of local businesses.
- Avoid bias in the design and specifications for Requests for Quotation and Tenders – all Requests must be structured to encourage local businesses to bid.
- Provide adequate and consistent information to potential suppliers.

#### **Legislation**

*Local Government Act 1995*

*Local Government (Functions and General) Regulations 1996*

*State Records Act 2000 (WA)*

#### **Relevant Procedures, Policies and Other Documents**

Purchasing Practice Guide

#### **Policy Adoption and Amendment History**

<b>Adopted/Reviewed/ Modified</b>	<b>Date of Meeting</b>	<b>Council Meeting Resolution Number</b>
Adopted	862/99	26/10/1999
Reviewed	536/03	16/12/2003
Reviewed	202/07	17/07/2007
Modified	210/10	05/10/2010
Modified	23/12	06/03/2012

Reviewed	360/13	10/12/2013
Reviewed	203/14	09/12/2014
Reviewed	226/15	15/12/2015
Modified	121/16	02/08/2016
Reviewed	206/16	13/12/2016
Modified	228/18	18/12/2018
Reviewed		



	<p><b>LG512</b></p> <p><b>Corporate Purchasing Cards</b></p>
<p><b>Key Focus Area</b> Leadership and Governance</p>	<p><b>Responsible Directorate</b> Office of the Chief Executive</p> <p><b>Relevant Council Delegation</b> Nil</p>

### Purpose

The purpose of the policy is to provide guidance on the issue and control of the use of the Corporate Purchasing Cards to employees of the Town of Claremont (**the Town**).

### Policy

In respect to the issue and use of Corporate Purchasing Cards;

- Council has authorised the responsibility of the issue of Corporate Purchasing Cards to the Chief Executive Officer (**CEO**).
- The CEO can authorise the issue of cards to Directors and other officers as required.
- Purchasing limits in respect to these Corporate Purchasing Cards will be determined by the CEO. A monthly card limit and an individual transaction limit will be determined for each card holder.
- Corporate Purchasing Cards are to be used only for business related expenditure.
- The use of Corporate Purchasing Cards does not negate the requirement to comply with the Town's purchasing policy.
- Custodians of Corporate Purchasing cards are entirely responsible for the use of that card, including authorised delegates. No other officer may use the card.
- Cardholders cannot incur and certify their own expenditure when arranging payment of the monthly invoice to the card supplier.
- Cardholders must not obtain personal benefit from the use of the cards, including receipt of frequent flyer points or other reward schemes.
- The CEO is to establish procedures for the use of Corporate Purchasing Cards to ensure adequate control is exercised over their use and that expenditure incurred on such cards is included in the monthly schedule of accounts for payment to be reviewed by Council.

### Legislation

*Local Government Act 1995*, s. 6.5(a) and s 2.7(2)(a)

*Local Governance (Financial Management) Regulations 1996 s.11(1)(a)*

### **Relevant Procedures, Policies and Other Documents**

Corporate Purchasing Cards Procedure

### **Policy Adoption and Amendment History**

<b>Adopted/Reviewed/ Modified</b>	<b>Date of Meeting</b>	<b>Council Meeting Resolution Number</b>
Adopted	19/02/2013	28/13
Reviewed	10/12/2013	360/13
Reviewed	09/12/2014	203/14
Reviewed	15/12/2015	226/15
Reviewed	13/12/2016	206/16
Reviewed	18/12/2018	228/18
Reviewed		



	<p><b>LG512</b></p> <p><b>Corporate Purchasing Cards</b></p>
<p><b>Key Focus Area</b> Leadership and Governance</p>	<p><b>Responsible Directorate</b> Office of the Chief Executive</p> <p><b>Relevant Council Delegation</b> Nil</p>

### Purpose

The purpose of the policy is to provide guidance on the issue and control of the use of the corporate purchasing cards to employees of the Town of Claremont (**the Town**).

### Policy

In respect to the issue and use of corporate purchasing cards:

- Council has authorised the responsibility of the issue of corporate purchasing cards to the Chief Executive Officer (**CEO**).
- The CEO can authorise the issue of cards to Directors and other officers as required.
- Purchasing limits in respect to these corporate purchasing cards will be determined by the CEO. A monthly card limit and an individual transaction limit will be determined for each card holder.
- Corporate purchasing cards are to be used only for business related expenditure.
- Custodians of corporate purchasing cards are entirely responsible for the use of that card, including authorised delegates. No other officer may use the card.
- Cardholders cannot incur and certify their own expenditure when arranging payment of the monthly invoice to the card supplier.
- Cardholders must not obtain personal benefit from the use of the cards, including receipt of frequent flyer points or other reward schemes.
- The use of corporate purchasing cards does not negate the requirement to comply with the Town's purchasing policy.
- The CEO is to establish procedures for the use of corporate purchasing cards to ensure adequate control is exercised over their use and that expenditure incurred on such cards is included in the monthly schedule of accounts for payment to be reviewed by Council.

### Legislation

*Local Government Act 1995* s. 6.5(a) and s 2.7(2)(a)

*Local Governance (Financial Management) Regulations 1996* s11(1)(a)

**Relevant Procedures, Policies and Other Documents**

Corporate purchasing cards procedure  
LG512 Corporate Purchasing Policy

**Policy Adoption and Amendment History**

<b>Adopted/Reviewed/ Modified</b>	<b>Date of Meeting</b>	<b>Council Meeting Resolution Number</b>
Adopted	19/02/2013	28/13
Reviewed	10/12/2013	360/13
Reviewed	09/12/2014	203/14
Reviewed	15/12/2015	226/15
Reviewed	13/12/2016	206/16
Reviewed	18/12/2018	228/18
Reviewed		

	<b>LG530</b> <b>Bank Accounts and Payments</b>
<b>Key Focus Area</b> Leadership and Governance	<b>Responsible Directorate</b> Office of the Chief Executive  <b>Relevant Council Delegation</b> DA9 Payment of Accounts

### Purpose

The purpose of this policy is to:

1. ~~1. Ensure the Town of Claremont (the Town) is compliant with the Local Government Act 1995 by maintaining which requires the operation of~~ separate bank accounts for monies held in the Municipal Fund, Trust Fund and in the Reserve Fund. Reserve Accounts.
2. Provide guidance on the opening and management of all bank accounts.

### Policy

With respect to the Municipal Fund (Municipal Account and Reserve Account) and Trust Fund (Trust Account) which are required to be maintained:

1. Two signatories are required for all payments, (cheques or electronic funds transfer) ~~from the above Bank Accounts.~~ The signatories ~~for the above accounts~~ shall be:
  - a. Chief Executive Officer (CEO),
  - ~~a-b.~~ Any member of the Executive team, including Director Governance and People (DGP),  
Director Infrastructure (DI) and Director Planning and Development (DPD)  
Director Corporate and Governance (EMCG)  
Director People and Places
  - ~~b-c.~~ Manager Finance (MF); and/or
  - ~~c-d.~~ Other officers authorised in writing by the Chief Executive Officer.
2. The following limits are established in respect of ~~cheque~~ signatories:

<u>Amount for a single vendor or a single invoice (whichever is higher)</u>	Primary Signatory	Secondary Signatory
---	-------------------	---------------------

Up to \$75,000	DCG, MF	DPP, DI, DPD
\$75,000 Up to \$150,000	DCG MF, CEO	DPP, DI, DPD, MF DGP, DI, DPD
Greater than \$150,000	CEO	DCG, DPP, DI, DPD, MF DGP, DI, DPD, MF

Any officer with a higher authorisation limit can sign for a lesser amount.

In the absence, or non-availability, of an officer with a higher authorisation limit, an officer with the next highest limit is authorised to sign.

3. Any officers nominated in writing by the Chief Executive Officer to act in the position of an authorised signatory are eligible to sign for payments in accordance with that position. This includes a Director acting as Chief Executive Officer.

3.4. Electronic Funds Transfer (EFT) Payments may be used as follows:

- a. Municipal Account. For the payment of supplier invoices for goods and services received, payroll, transfer to Reserve accounts, refund of bonds, and investment of funds in accordance with Council's Town's Investment Policy LG511.
- b. Trust Account. For refund of bonds or deposits held in trust, and investment of funds in accordance with Council's Town's Investment Policy.
- c. Reserve Account. For investment of funds in accordance with Council's Town's Investment Policy and transfer to the Municipal account.

## Payments

### Weekly Cheque or Electronic Fund Transfer (EFT) Production

A cheque or EFT production run will be performed weekly, or as required for the payment of all accounts.

### Credit Card

The Chief Executive Officer and other officers nominated in writing by the Chief Executive Officer are authorised to make credit card payments direct from the Municipal Account in accordance with Council's Town's Corporate Credit Card Policy LG512.

## Presentation of Accounts

4.5. A list of all payments ~~made will be prepared~~ and submitted to Council ~~meeting~~ each month at an Ordinary Council Meeting showing for each account paid in that month, details such as the payee's name, amount of the payment, date of the payment, sufficient information to identify the transaction, and the account from which the payment is made.

### Legislation

*Local Government Act 1995*, Section 5.42 and sections 6.6 – 6.11

### Relevant Procedures, Policies and Other Documents

[Accounts payable procedure](#)

[Payment listing and report procedure](#)

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting
		Resolution Number
Adopted	164/16	18/10/16
Reviewed	206/16	13/12/2016
Reviewed	228/18	18/12/2018
Reviewed		





	<p><b>LG530</b> <b>Bank Account</b></p>
<p><b>Key Focus Area</b> Leadership and Governance</p>	<p><b>Responsible Directorate</b> Office of the Chief Executive</p> <p><b>Relevant Council Delegation</b> DA9 Payment of Accounts</p>

### Purpose

The purpose of this policy is to:

1. Ensure the Town of Claremont (**the Town**) is compliant with the *Local Government Act 1995* by maintaining separate bank accounts for monies held in the Municipal Fund, Trust Fund and in the Reserve Fund.
2. Provide guidance on the opening and management of bank accounts.

### Policy

With respect to the Municipal Fund (Municipal Account and Reserve Account) and Trust Fund (Trust Account) which are required to be maintained:

1. Two signatories are required for all payments, (cheques or electronic funds transfer). The signatories shall be:
  - a. Chief Executive Officer (CEO),
  - b. Any member of the Executive team, including Director Governance and People (DGP), Director Infrastructure (DI) and Director Planning and Development (DPD)
  - c. Manager Finance (MF); and/or
  - d. Other officers authorised in writing by the Chief Executive Officer.
2. The following limits are established in respect of signatories:

Amount for a single vendor or a single invoice (whichever is higher)	Primary Signatory	Secondary Signatory
Up to \$150,000	MF, CEO	DGP, DI, DPD

Greater than \$150,000	CEO	DGP, DI, DPD, MF
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3. Any officers nominated in writing by the Chief Executive Officer to act in the position of an authorised signatory are eligible to sign for payments in accordance with that position. This includes a Director acting as Chief Executive Officer.
4. Electronic Funds Transfer (**EFT**) Payments may be used as follows:
  - a. Municipal Account. For the payment of supplier invoices for goods and services received, payroll, transfer to Reserve accounts, refund of bonds, and investment of funds in accordance with Town's Investment Policy LG511.
  - b. Trust Account. For refund of bonds or deposits held in trust, and investment of funds in accordance with Town's Investment Policy.
  - c. Reserve Account. For investment of funds in accordance with Town's Investment Policy and transfer to the Municipal account.
5. A list of all payments made will be prepared and submitted to Council each month at an Ordinary Council Meeting showing for each account paid in that month, details such as the payee's name, amount of the payment, date of the payment, sufficient information to identify the transaction, and the account from which the payment is made.

### Legislation

*Local Government Act 1995*, Section 5.42 and sections 6.6 – 6.11

### Relevant Procedures, Policies and Other Documents

Accounts payable procedure  
Payment listing and report procedure

### Policy Adoption and Amendment History

Adopted/Reviewed/ Modified	Date of Meeting	Council Meeting Resolution Number
Adopted	164/16	18/10/16
Reviewed	206/16	13/12/2016
Reviewed	228/18	18/12/2018
Reviewed		



### 13.1.3 MONTHLY STATEMENT OF FINANCIAL ACTIVITY FOR THE PERIODS ENDING 31 DECEMBER 2020

**File Number:** FIM/00079, D-21-03695

**Author:** Vicki Cobby, Manager Finance

**Authoriser:** Liz Ledger, Chief Executive Officer

**Attachments:** 1. **Statement of Financial Activity - December 2020** [↓](#)   
2. **Infrastructure Report- December 2020** [↓](#) 

#### PURPOSE

For Council to note the Statement of Financial Activity (Financial Statements) for the period ending 31 December 2020.

#### BACKGROUND

The Financial Statements are presented to Council in accordance with *the Local Government Act 1995* and the *Local Government (Financial Management) Regulations 1996*.

#### DISCUSSION

The Financial Statements represent 2020-21 operations to 31 December 2020 and compare year to date expenditure and revenue against the corresponding adopted budget of Council.

The budget figures incorporate the 2019-20 carried forward expenses and all budget amendments approved to 31 December 2020. Consideration of the 2019-20 EOFY surplus and carried forward income will be finalised as part of the mid-year budget review, which will be completed after the audited annual financial statements have been received.

The closing surplus of \$13,019,649 to 31 December 2020 is compared directly with the budgeted surplus of \$10,311,452. As detailed below, the \$2,708,196 variance is made up of:

#### Under budget

Operating expenditure \$ 1,361,378  
Capital expenditure \$ 630,093

#### Over budget

Operating revenue \$ 359,289  
Capital revenue \$ 18,355  
Opening surplus \$ 250,156  
Rates Revenue \$ 134,259

**Variance \$ 2,708,196**

In accordance with Council's variance reporting requirements, only those variances above \$20,000 are reported below as major contributors. For further details on variances, please refer to Attachment 1.

#### Operating Expenditure - \$1,361,378 under budget

	YTD Budget	Actual	Variance
Employee Costs	\$3,577,051	\$3,394,270	\$182,781
Materials and Contracts	\$3,138,917	\$2,568,184	\$570,733
Utilities	\$263,794	\$221,387	\$42,407
Depreciation	\$1,616,714	\$1,593,361	\$23,353
Interest Expenses	\$207,217	\$146,697	\$60,520
Other Expenditure	\$558,359	\$136,508	\$421,851

Internal Allocation	(\$123,981)	(\$164,848)	\$40,866
---------------------	-------------	-------------	----------

Contributors to the operating expenditure variations are:

- Employee cost variations have arisen due to vacancies during the reporting period.
- Materials and contracts
  - \$184,801 on external contractor services waiting for invoices.
  - \$91,776 under budget in planning consultancy for projects not yet complete.
  - \$98,438 under budget in IT operations, with major expenses coming with the system upgrade, this variance is due to timing of the project.
  - \$38,821 savings on legal expenses.
  - \$27,430 under budget on audit fees as the final audit has been delayed.
  - \$47,508 under budget in advertising & promotions with invoices not yet received for \$5,099.
- Utilities underspend is due to street lighting and electricity charges being less than budgeted.
- Non-cash variation in depreciation is a consequence of being under budget in capital expenditure.
- Other expenditure
  - \$125,000 was budgeted for rates in credit, but due to a change in AASB1058, this is no longer recognised as an expense.
  - \$87,500 commissions not paid as Royal Show cancelled.
  - \$53,877 invoice from contribution recipient not yet received.
  - \$50,453 WESROC expenses under budget and are timing variances only.
  - \$57,869 second quarter contributions to local clubs, invoices not received.
- The internal allocations for October & November were significantly higher than previous months, due in part to a noticeable increase in capital expenditure – December figures have normalised. There will be further investigation into internal allocations as we move into 2021.

#### Rates Revenue - \$134,259 over budget

- \$134,259 above budget due to interim valuation notices received from Landgate following the adoption of the 2020/21 budget.

#### Operating Revenue – \$359,289 over budget

	Budget	Actual	Variance
Grants, Subsidies & Contributions	\$105,194	\$157,213	\$52,019
Fees & Charges	\$1,463,332	\$1,774,305	\$310,973
Reimbursements	\$49,176	\$123,867	\$74,692
Interest Earnings	\$249,602	\$177,213	(\$72,389)

The reasons for operating revenue variations are:

- \$54,005 of the variance in grants is related to a COVID-19 payment received from the Federal Government for Aquatic Centre project (as part of stimulus package).
- Variations in expected fees & charges are due to increased admission and sales fees received at the Aquatic Centre programs/shop sales, parking infringements and building applications, these were budgeted to reflect a presumed lower income generation as a result of COVID-19 restrictions.
- Increases in reimbursements include an unbudgeted contribution from Western Australia Land Authority for the bore works at Claremont Football Club oval; this is offset by the expenditure

to replace the bore and switchboard. As well as the reimbursement costs for the footpath at 414 Stirling Hwy Claremont (1 Airlie Street).

- Under budget interest earnings is due to lower interest rates than anticipated during budget preparations.

#### Capital Expenditure - \$630,093 under budget

As detailed within the capital works schedules (note 10), the capital expenditure is comprised of:

- \$40,480 under budget in Land and Buildings with the Depot facility and Aquatic Centre works being behind on budget timing, whilst the Museum, McKenzie Pavilion and Bowling Club improvements ahead.
- \$40,264 behind budget on CCTV projects due to small unforeseen delays, timing issue only.
- \$523,048 under budget in infrastructure works. The detail is in the Infrastructure Works report attached and includes \$308,792 under budget in roadworks, \$148,154 in other infrastructure and \$25,000 in Lake Claremont Park development. Most of this expenditure will be spent later in the financial year.

#### Capital Revenue - \$18,355 over budget

Variance is in proceeds from disposal of assets as the used car market is exceptionally high and all three vehicles traded in so far have exceeded budget.

#### Opening Surplus - \$250,156 over budget

The variance in the opening surplus is subject to the completion of the 2019-20 financial year accounts (including final audit), the finalisation of the 2019-20 closing surplus and any closing journals that are yet to be completed.

### **PAST RESOLUTIONS**

Ordinary Council Meeting 15 December 2020, Resolution 150/20.

*That Council notes the Monthly Statements of Financial Activity for the periods of 1 July 2020 to 30 November 2020.*

### **FINANCIAL AND STAFF IMPLICATIONS**

Resource requirements are in accordance with existing budgetary allocation.

### **POLICY AND STATUTORY IMPLICATIONS**

Clause 34(1) - *Local Government (Financial Management) Regulations 1996*

### **COMMUNICATION / CONSULTATION**

The Town is required to prepare and submit a report to Council for the Statement of Financial Activity each month, reporting on the revenue and expenditure, as set out in the annual budget under regulation 22(1)(d) *Local Government (Financial Management) Regulations 1996*, for that month.

### **STRATEGIC COMMUNITY PLAN**

#### **Leadership and Governance**

*We are an open and accountable local government; a leader in community service standards.*

- Demonstrate a high standard of governance, accountability, management and strategic planning.
- Manage our finances responsibly and improve financial sustainability.

- Continually assess our performance and implement initiatives that drive continuous improvement.

**URGENCY**

Monthly Statements of Financial Activity must be submitted within two months after the end of the month to which the statement relates, *Clause 36(4) - Local Government (Financial Management) Regulations 1996*.

**VOTING REQUIREMENTS**

Simple Majority decision of Council (*More than half the elected members present are required to vote in favour*).

**OFFICER RECOMMENDATION**

**That Council:**

1. **Notes the Statement of Financial Activity for the period 1 July 2020 to 31 December 2020.**



**Town of Claremont**  
**MONTHLY FINANCIAL REPORT**  
**For the Period Ended 31 December 2020**

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\* Note 1 has been removed whilst the Town is consulting with our OAG appointed auditors on the changes to the Local Government (Financial Management) Regulations 1996

**LOCAL GOVERNMENT ACT 1995**  
**LOCAL GOVERNMENT (FINANCIAL MANAGEMENT) REGULATIONS 1996**

**Town of Claremont**  
**STATEMENT OF FINANCIAL ACTIVITY**  
**(Nature or Type)**  
**For the Period Ended 31 December 2020**

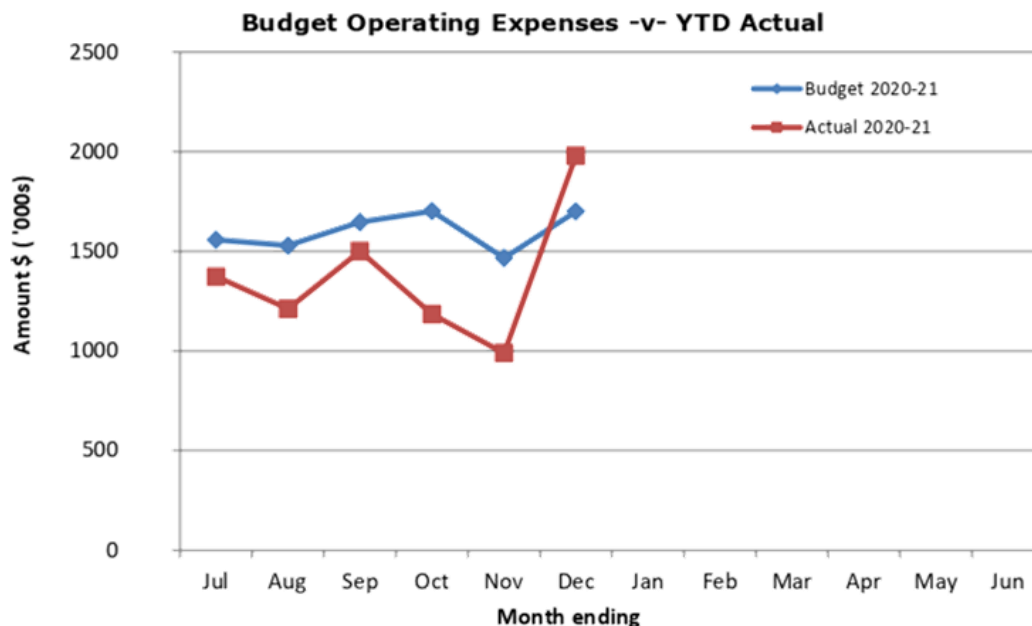
Note	Annual Budget 4	YTD Budget (a)	YTD Actual (b)	Var. \$ (b)-(a) 3	Var. % (b)-(a)/(b) 3	
<b>Operating Revenue</b>						
Grants, Subsidies and Contributions	\$ 184,021	\$ 105,194	\$ 157,213	\$ 52,019	33.1%	▲
Service Charges	0	0	0	0		
Profit on Asset Disposal	17,658	17,658	23,705	6,047	25.5%	
Fees and Charges	2,532,224	1,463,332	1,774,305	310,973	17.5%	
Reimbursements	269,950	49,176	123,867.62	74,692	60.3%	▲
Interest Earnings	446,413	249,602	177,213	(72,389)	(40.8%)	▼
Other Revenue	153,800	26,902	14,850	(12,052)	(81.2%)	
<b>Total (Excluding Rates)</b>	<b>3,604,066</b>	<b>1,911,864</b>	<b>2,271,153</b>	<b>359,289</b>		
<b>Operating Expense</b>						
Employee Costs	(7,095,518)	(3,577,051)	(3,394,270)	(182,781)	(5.4%)	
Materials and Contracts	(6,444,190)	(3,138,917)	(2,568,184)	(570,733)	(22.2%)	▼
Utilities Charges	(537,687)	(263,794)	(221,387)	(42,407)	(19.2%)	
Depreciation (Non-Current Assets)	(3,233,457)	(1,616,714)	(1,593,361)	(23,353)	(1.5%)	
Interest Expenses	(409,387)	(207,217)	(146,697)	(60,520)	(41.3%)	▼
Insurance Expenses	(221,522)	(221,222)	(218,475)	(2,747)	(1.3%)	
Loss on Asset Disposal	(21,252)	(15,933)	0	(15,933)		
Elected Member Expenses	(254,252)	(127,108)	(126,921)	(187)	(0.1%)	
Other Expenditure	(1,027,362)	(558,359)	(136,508)	(421,851)	(309.0%)	▼
Internal Allocation	293,727	123,981	164,848	(40,866)	24.8%	▲
<b>Total</b>	<b>(18,950,900)</b>	<b>(9,602,334)</b>	<b>(8,240,955)</b>	<b>(1,361,378)</b>		
<b>Funding Balance Adjustment</b>						
Add Back Depreciation	3,233,457	1,616,714	1,593,361	23,353	(1.5%)	
Adjust (Profit)/Loss on Asset Disposal	3,594	(1,725)	(23,705)	21,980	92.7%	
Adjust Provisions and Accruals	(208,256)			0		
<b>Net Operating (Ex. Rates)</b>	<b>(12,318,039)</b>	<b>(6,075,481)</b>	<b>(4,400,147)</b>	<b>1,675,333</b>		
<b>Capital Revenues</b>						
Grants, Subsidies and Contributions	2,605,536	9,380	5,280	(4,100)	(77.7%)	
Proceeds from Disposal of Assets	11,3500	60,500	82,955	22,455	27.1%	▲
Proceeds from New Debentures	1,400,000	0	0	0		
Transfers from/to Restricted Assets	0	0	0	0		
Non Current Reclassifications	0	0	0	0		
Transfer from Loan Account - Restricted Assets	0	0	0	0		
Transfer from Reserves	730,000	0	0	0		
<b>Total</b>	<b>4,849,036</b>	<b>69,880</b>	<b>88,235</b>	<b>18,355</b>		
<b>Capital Expenses</b>						
Land and Buildings	(4,613,000)	(370,720)	(330,240)	(40,480)	(12.3%)	
Plant and Equipment	(256,850)	(96,550)	(111,031)	14,481	13.0%	
Electronic Equipment	(261,000)	(93,000)	(11,261)	(81,739)	(725.9%)	▼
Infrastructure Assets - Other	(3,076,139)	(1,490,344)	(967,296)	(523,048)	(54.1%)	▼
Repayment of Debentures	(1,895,206)	(260,538)	(260,539)	1	0.0%	
Transfer to Reserves	(550,642)	0	(692)	692	100.0%	
<b>Total</b>	<b>(10,652,837)</b>	<b>(2,311,152)</b>	<b>(1,681,059)</b>	<b>(630,093)</b>		
<b>Net Capital</b>	<b>(5,803,801)</b>	<b>(2,241,272)</b>	<b>(1,592,824)</b>	<b>648,448</b>		
<b>Total Net Operating + Capital</b>	<b>(18,121,840)</b>	<b>(8,316,753)</b>	<b>(5,992,971)</b>	<b>2,323,781</b>		
Rate Revenue	14,821,593	14,705,593	14,839,852	134,259	0.9%	
Opening Funding Surplus(Deficit)	3,514,359	3,922,612	4,172,768	250,156	6.0%	
<b>Closing Funding Surplus(Deficit)</b>	<b>214,112</b>	<b>10,311,452</b>	<b>13,019,649</b>	<b>2,708,196</b>	<b>26.3%</b>	<b>▲</b>

**Town of Claremont**  
**STATEMENT OF FINANCIAL ACTIVITY**  
**(Statutory Reporting Program)**  
**For the Period Ended 31 December 2020**

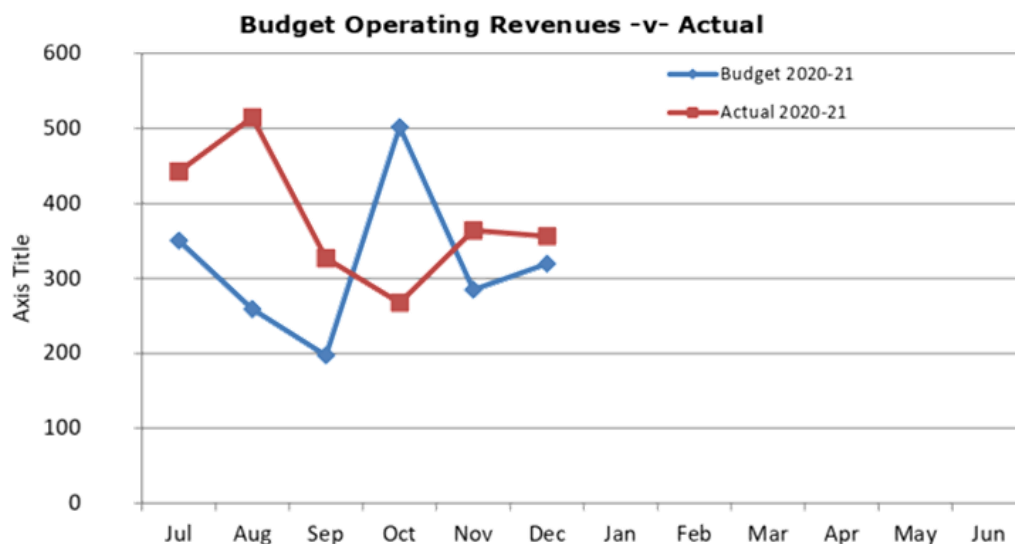
	Note	Revised Annual Budget 4	YTD Budget (a)	YTD Actual (b)	Var. \$ (b)-(a) 3	Var. % (b)-(a)/(b) 3	Var.
<b>Operating Revenue</b>							
General Purpose Funding		\$ 720,896	\$ 372,348	\$ 359,046	\$ (13,302)	(3.6%)	
Governance		16,800	3,500	717	(2,783)	(79.5%)	
Law, Order and Public Safety		21,673	15,773	17,747	1,974	12.5%	
Health		75,270	63,706	69,773	6,067	9.5%	
Education and Welfare		0	0	0	0		
Community Amenities		359,700	272,798	291,826	19,028	7.0%	
Recreation and Culture		1,239,949	525,847	707,389	181,542	34.5%	▲
Transport		687,500	370,254	593,802	223,548	60.4%	▲
Economic Services		461,993	269,753	219,378	(50,375)	(18.7%)	
Other Property and Services		20,285	17,885	11,473	(6,412)	(35.9%)	
<b>Total (Excluding Rates)</b>		<b>3,604,066</b>	<b>1,911,864</b>	<b>2,271,153</b>	<b>359,289</b>		
<b>Operating Expense</b>							
General Purpose Funding		(498,314)	(323,854)	(175,435)	(148,419)	(45.8%)	▼
Governance		(1,721,947)	(883,828)	(636,453)	(247,375)	(28.0%)	▼
Law, Order and Public Safety		(552,389)	(280,954)	(241,732)	(39,222)	(14.0%)	
Health		(532,303)	(272,829)	(228,727)	(44,102)	(16.2%)	
Education and Welfare		(258,484)	(129,840)	(111,681)	(18,159)	(14.0%)	
Community Amenities		(3,106,343)	(1,529,503)	(1,221,909)	(307,594)	(20.1%)	▼
Recreation and Culture		(4,952,309)	(2,465,915)	(2,235,644)	(230,271)	(9.3%)	
Transport		(5,413,727)	(2,696,549)	(2,551,732)	(144,817)	(5.4%)	
Economic Services		(1,879,168)	(937,307)	(674,379)	(262,928)	(28.1%)	▼
Other Property and Services		(35,916)	(81,755)	(163,263)	81,508	99.7%	▲
<b>Total</b>		<b>(18,950,900)</b>	<b>(9,602,334)</b>	<b>(8,240,955)</b>	<b>(1,361,378)</b>		
<b>Funding Balance Adjustment</b>							
Add back Depreciation		3,233,457	1,616,714	1,593,361	(23,353)	(1.4%)	
Adjust (Profit)/Loss on Asset Disposal	10	3,594	(1,725)	(23,705)	(21,980)	1274.2%	
Adjust Provisions and Accruals		(208,256)		0	0		
<b>Net Operating (Ex. Rates)</b>		<b>(12,318,039)</b>	<b>(6,075,481)</b>	<b>(4,400,147)</b>	<b>1,675,333</b>		
<b>Capital Revenues</b>							
Grants, Subsidies and Contributions		2,605,536	9,380	5,280	(4,100)	(77.7%)	
Proceeds from Disposal of Assets	10	113,500	60,500	82,955	22,455	37.1%	▲
Proceeds from New Debentures		1,400,000	0	0	0		
Transfers from Restricted Assets		0	0	0	0		
Transfer from Reserves	9	730,000	0	0	0		
<b>Total</b>		<b>4,849,036</b>	<b>69,880</b>	<b>88,235</b>	<b>18,355</b>		
<b>Capital Expenses</b>							
Land Held for Resale		0	0	0	0		
Land and Buildings	10	(4,613,000)	(370,720)	(330,240)	(40,480)	(12.3%)	
Plant and Equipment	10	(256,850)	(96,550)	(111,031)	14,481	15.0%	
Furniture and Equipment	10	(261,000)	(93,000)	(11,261)	(81,739)	(87.9%)	▼
Infrastructure Assets - Other	10	(3,076,139)	(1,490,344)	(967,296)	(523,048)	(35.1%)	▼
Repayment of Debentures		(1,895,206)	(260,538)	(260,539)	1		
Transfer to Reserves	9	(550,642)	0	(692)	692	100.0%	
<b>Total</b>		<b>(10,652,837)</b>	<b>(2,311,152)</b>	<b>(1,681,059)</b>	<b>(630,093)</b>		
<b>Net Capital</b>		<b>(5,803,801)</b>	<b>(2,241,272)</b>	<b>(1,592,824)</b>	<b>648,448</b>		
<b>Total Net Operating + Capital</b>		<b>(18,121,840)</b>	<b>(8,316,753)</b>	<b>(5,992,971)</b>	<b>2,323,781</b>		
Rate Revenue		14,821,593	14,705,593	14,839,852	134,259	0.9%	
Opening Funding Surplus(Deficit)		3,514,359	3,922,612	4,172,768	250,156	6.4%	
<b>Closing Funding Surplus(Deficit)</b>		<b>214,112</b>	<b>10,311,452</b>	<b>13,019,649</b>	<b>2,708,196</b>	<b>26.3%</b>	<b>▲</b>

**Town of Claremont**  
**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY**  
**For the Period Ended 31 December 2020**

**Note 2 - Graphical Representation - Source Statement of Financial Activity**



**Comments/Notes - Operating Expenses**



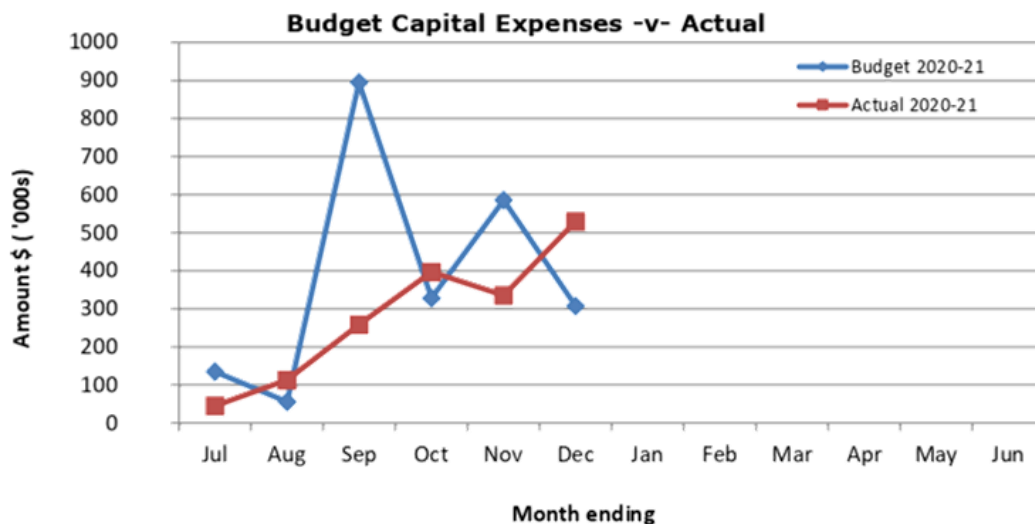
**Comments/Notes - Operating Revenues**

The operating revenue does not include income from rates.

The spike in budgeted operating revenue in October is partially due to \$130,000 of parking fees for the Royal Show that was cancelled.

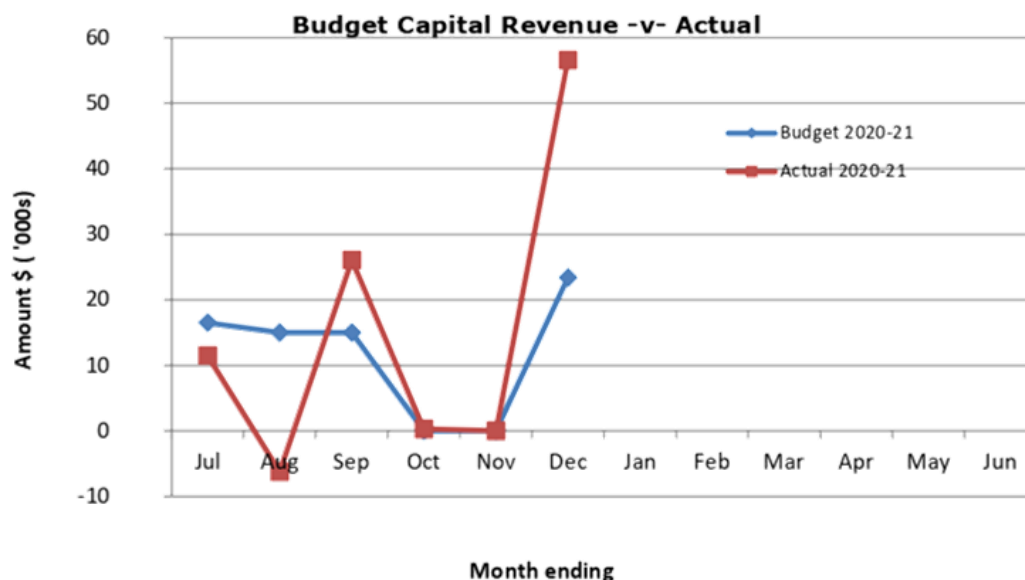
**Town of Claremont**  
**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY**  
**For the Period Ended 31 December 2020**

**Note 2 - Graphical Representation - Source Statement of Financial Activity**



**Comments/Notes - Capital Expenses**

Significant progress on Infrastructure programs expected by 30 Sep 20, this has caused the large spike.



**Comments/Notes - Capital Revenues**

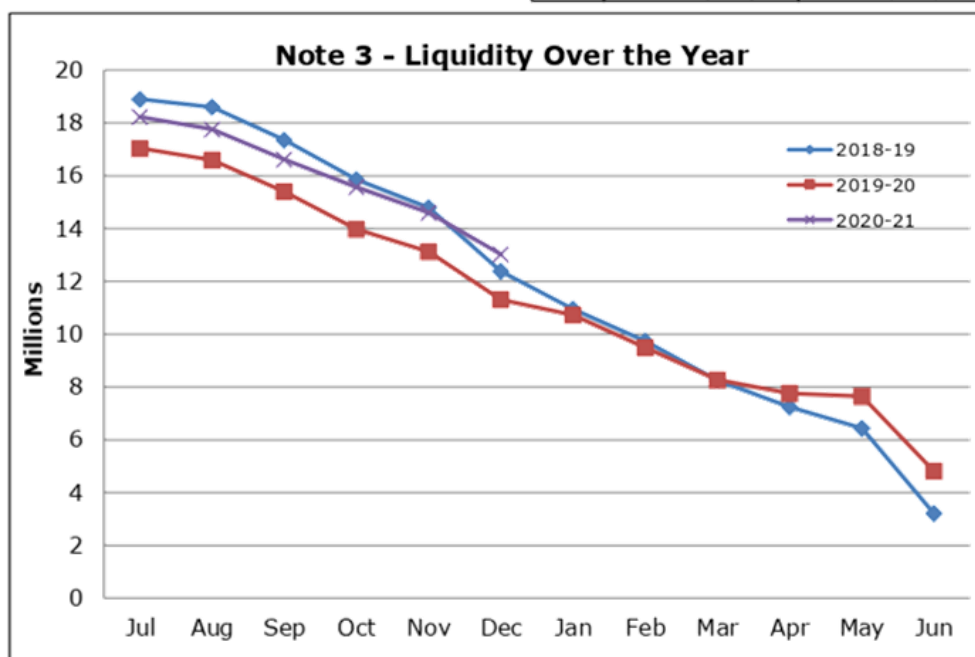
A refund of unused grant funding was the cause of the negative spike in August 2020, higher than expected trade in values on fleet vehicles is the cause of the spike in December.

**Town of Claremont**  
**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY**  
**For the Period Ended 31 December 2020**

**Note 3: NET CURRENT FUNDING POSITION**

For the Period Ended 31 December 2020

		Positive=Surplus (Negative=Deficit)	
		2020-21	
Note		This Period	Last Period
		\$	\$
<b>Current Assets</b>			
4, 4A	Cash Unrestricted	10,065,597	12,182,126
4, 4A	Damage Bond	1,400,154	1,379,890
	Cash Restricted	0	0
4, 4A	Investments	12,866,700	12,866,700
7	Receivables - Rates and Rubbish	4,656,243	4,907,864
7	Receivables - Other	1,135,107	1,179,314
	Inventories	0	0
		<b>30,123,800</b>	<b>32,515,894</b>
<b>Less: Current Liabilities</b>			
	Payables	(2,882,681)	(3,691,944)
	Current Loan Liability	(1,905,702)	(1,906,695)
	Provisions	(1,339,286)	(1,339,286)
		<b>(6,127,669)</b>	<b>(6,937,926)</b>
<b>Less: Restricted Assets</b>			
4, 4A	Cash Restricted	(12,866,700)	(12,866,700)
	Right of use asset	(15,485)	(16,479)
	Plus: Loan Liability	1,905,702	1,906,695
		<b>13,019,649</b>	<b>14,601,485</b>



**Town of Claremont**  
**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY**  
**For the Period Ended 31 December 2020**

**Note 4: CASH AND INVESTMENTS**

	Deposit No.	Interest Rate	Municipal \$	Reserves \$	Trust \$	Total Amount \$	Institution	Maturity Date
(a) Cash Deposits		0.00%	20,000			20,000	NAB	At Call
		0.35%	4,061,548			4,061,548	NAB At Call	At Call
		0.35%	379,890			379,890	Damage Bonds	At Call
		0.35%		38,395		38,395	NAB Reserve	At Call
(b) Investments	316	1.00%		148,304		148,304	NAB	22/06/2021
	348	0.90%		3,475,118		3,475,118	Suncorp	25/06/2021
	349	1.00%		329,414		329,414	Westpac	17/06/2021
	351	0.95%		4,087,005		4,087,005	NAB	25/06/2021
	352	0.90%		977,952		977,952	Westpac	26/06/2021
	353	0.95%		552,034		552,034	NAB	29/06/2021
	354	0.95%		644,898		644,898	NAB	28/06/2021
	356	0.95%		823,561		823,561	NAB	28/06/2021
	357	0.88%		200,302		200,302	Westpac	18/06/2021
	358	0.88%		433,108		433,108	Westpac	18/06/2021
	359	0.88%		244,319		244,319	Westpac	18/06/2021
	360	0.88%		389,240		389,240	Westpac	18/06/2021
	361	0.88%		73,057		73,057	Westpac	18/06/2021
	362	0.88%		450,000		450,000	Westpac	18/06/2021
	367	0.75%	1,000,000			1,000,000	Bankwest	28/01/2021
	368	0.69%	1,002,142			1,002,142	Westpac	15/01/2021
	369	0.42%	1,500,000			1,500,000	Westpac	26/02/2021
	370	0.45%	2,500,000			2,500,000	NAB	26/02/2021
	371	0.31%	1,000,000			1,000,000	Westpac	25/06/2021
<b>Total</b>			<b>11,463,581</b>	<b>12,866,706</b>	<b>0</b>	<b>24,330,287</b>		

Comments/Notes - Investments

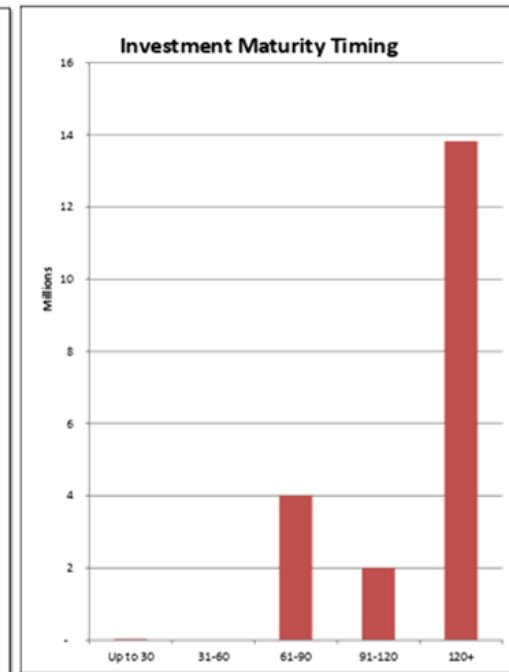
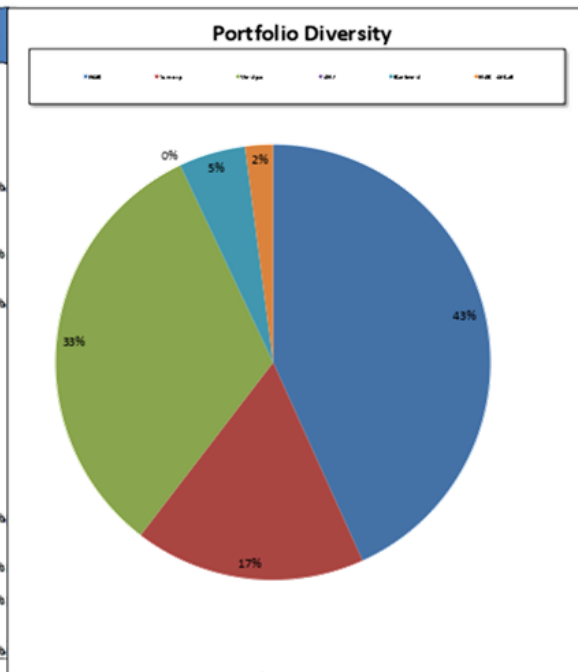


**Town of Claremont**  
**Monthly Investment Report**  
 For the Period Ended 31 December 2020

**Note 4A: CASH INVESTMENTS**

Deposit Ref	Deposit Date	Institution	Term (Days)	Invested Interest rates	Expected Interest	Amount Invested (Days)					Total
						Up to 30	31-60	61-90	91-120	120+	
General Municipal											
306-188-032146-0	29/09/2020	Bankwest	121	0.75%	2,486				1,000,000		1,000,000
036034-531875	15/10/2020	Westpac	92	0.69%	1,743				1,002,142		1,002,142
035102-522467	30/11/2020	Westpac	88	0.42%	1,519			1,500,000			1,500,000
GMI-DEAL-10732410	30/11/2020	NAB	88	0.45%	2,712			2,500,000			2,500,000
				Subtotal	8,460	-	-	4,000,000	2,002,142	-	6,002,142
Restricted											
69-859-5973	25/06/2020	NAB	365	0.95%	38,827					4,087,005	4,087,005
74-774-5000	22/06/2020	NAB	365	1.00%	1,483					148,304	148,304
10-708-250	29/06/2020	NAB	365	0.95%	5,244					552,034	552,034
036-034-530215	26/06/2020	Westpac	365	1.00%	3,294					329,414	329,414
036-034-530733	25/06/2020	Westpac	365	0.90%	8,802					977,952	977,952
036034-530709	25/12/2020	Westpac DB	182	0.31%	1,546					1,000,000	1,000,000
41-99983	25/06/2020	Suncorp	365	0.90%	31,276					3,475,118	3,475,118
10-709792	7/07/2020	NAB	356	0.95%	5,975					644,898	644,898
10-709791	7/07/2020	NAB	356	0.95%	7,631					823,561	823,561
360-345-33176	18/08/2020	Westpac	359	0.88%	2,115					244,319	244,319
360-345-33192	18/08/2020	Westpac	360	0.88%	3,378					389,240	389,240
360-345-33205	18/08/2020	Westpac	361	0.88%	636					73,057	73,057
360-345-33141	18/08/2020	Westpac	357	0.88%	1,724					200,302	200,302
360-345-33168	18/08/2020	Westpac	358	0.88%	3,738					433,108	433,108
360-345-33213	18/08/2020	Westpac	362	0.88%	3,927					450,000	450,000
083-817 150849553		NAB At Call		0.35%		38,395					38,395
		NAB DB At Call		0.35%		379,890					379,890
				Subtotal	119,596	38,395	-	-	-	13,828,311	14,246,596
Total Interest Expected on Funds Invested					128,057	38,395	-	4,000,000	2,002,142	13,828,311	20,248,738

Deposit Ref		Term (Days)	Invested Interest rates	Percentage of Portfolio
<b>NAB</b>				
69-859-5973	25/06/2020	365	0.95%	4,087,005
74-774-5000	22/06/2020	365	1.00%	148,304
10-708-250	29/06/2020	365	0.95%	552,034
10-709792	7/07/2020	356	0.95%	644,898
10-709791	7/07/2020	356	0.95%	823,561
GMI-DEAL-10732410	30/11/2020	88	0.45%	2,500,000
			<b>Subtotal</b>	<b>8,755,802</b>
<b>NAB - At Call</b>				
083-817 156849553	Reserve		0.35%	38,395
083-817-773126828	Damage bonds		0.35%	379,890
			<b>Subtotal</b>	<b>418,285</b>
<b>Suncorp</b>				
41-99983	41-99983	365	0.90%	3,475,118
			<b>Subtotal</b>	<b>3,475,118</b>
<b>Westpac</b>				
036-034-530215	26/06/2020	365	1.00%	329,414
036-034-530733	25/06/2020	365	0.90%	977,952
360-345-33176	18/08/2020	359	0.88%	244,319
360-345-33192	18/08/2020	360	0.88%	389,240
360-345-33205	18/08/2020	361	0.88%	73,057
360-345-33141	18/08/2020	357	0.88%	200,302
360-345-33168	18/08/2020	358	0.88%	433,108
360-345-33213	18/08/2020	362	0.88%	450,000
036-034-531875	15/10/2020	92	0.69%	1,002,142
035-102-522467	30/11/2020	88	0.42%	1,500,000
036-034-530709	25/12/2020	182	0.31%	1,000,000
			<b>Subtotal</b>	<b>6,599,533</b>
<b>Bankwest</b>				
306-188-032146-0	29/09/2020	121	0.75%	1,000,000
			<b>Subtotal</b>	<b>1,000,000</b>
<b>ANZ</b>				
				0%
				0%
<b>Total Funds Invested</b>				<b>20,248,738</b>
				<b>100.0%</b>





**Town of Claremont**  
**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY**  
**For the Period Ended 31 December 2020**

**Note 5: MAJOR VARIANCES**

**Comments/Reason for Variance**

**5.1 OPERATING REVENUE (EXCLUDING RATES)**

**5.1.1 GRANTS, SUBSIDIES AND CONTRIBUTIONS**

Unbudgeted COVID-19 payment received from Federal Government

**5.1.2 PROFIT ON ASSET DISPOSAL**

Minor variance

**5.1.3 FEES AND CHARGES**

Minor variance

**5.1.4 REIMBURSEMENTS**

Due to an unbudgeted contribution from WA Land Authority for bore works at Claremont FC Oval and

reimbursement from Blackburne Property Group for 414 Stirling Hwy

**5.1.5 INTEREST EARNINGS**

Interest on Muni and Reserve investments under budget due to very low interest rates

**5.1.6 OTHER REVENUE**

Minor variance

**5.2 OPERATING EXPENSES**

**5.2.1 EMPLOYEE COSTS**

Minor Variance

**5.2.2 MATERIALS AND CONTRACTS**

Underspend in external contractor services, consultancy, IT operations and legal and audit fees

**5.2.3 UTILITIES**

Minor Variance

**5.2.4 DEPRECIATION (NON CURRENT ASSETS)**

Minor Variance

**5.2.5 INTEREST EXPENSES**

Underspend as Guarantee Fee payable to WA Treasury Corporation, to be paid in January

**5.2.6 INSURANCE EXPENSES**

Minor Variance

**5.2.7 LOSS ON ASSET DISPOSAL**

Minor Variance

**5.2.8 ELECTED MEMBER EXPENSES**

Minor Variance

**5.2.9 OTHER EXPENDITURE**

Change in AASB1058 - recognition of rates paid in advance no longer recognised as other expense, invoice from donation recipient not yet received and no commissions paid for the Royal Show and invoices not yet received for Local sporting club quarterly contributions

**5.2.10 INTERNAL ALLOCATION**

October & November allocations significantly higher than previous months - December figures have normalised

**5.3 CAPITAL REVENUE**

**5.3.1 GRANTS, SUBSIDIES AND CONTRIBUTIONS**

Minor variance

**5.3.2 PROCEEDS FROM DISPOSAL OF ASSETS**

Over budget in proceeds from disposal of assets as the used car market is exceptionally high and all three vehicles traded in so far have exceeded budget

**5.4 CAPITAL EXPENSES**

**5.4.1 LAND AND BUILDINGS**

Minor variance

**5.4.2 PLANT AND EQUIPMENT**

Minor variance

**5.4.3 ELECTRONIC EQUIPMENT**

CCTV project in progress, under budget due to small unforeseen delays, timing issue only. AV equipment in Council chambers not yet purchased

**Town of Claremont  
NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY  
For the Period Ended 31 December 2020**

**Note 5: MAJOR VARIANCES**

**Comments/Reason for Variance**

**5.4.4 INFRASTRUCTURE ASSETS - OTHER**

\$308,792 under budget on roadworks, \$148,154 in other infrastructure and \$25,000 in Lake Claremont Park development. For more detail please see the Infrastructure Report December 2020

**5.4.5 TRANSFER TO RESERVES (RESTRICTED ASSETS)**

Minor variance

**5.5 OTHER ITEMS**

**5.5.1 RATE REVENUE**

Minor variance

**5.5.2 OPENING FUNDING SURPLUS(DEFICIT)**

Minor variance

**Town of Claremont**  
**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY**  
**For the Period Ended 31 December 2020**

**Note 6: BUDGET AMENDMENTS**

Amendments to original budget since budget adoption. Surplus/(Deficit)

GL Account Code	Description	Council Resolution / Approval	No Change - (Non Cash Items) Adjust.	Increase in Available Cash	Decrease in Available Cash	Amended Budget Running Balance
			\$	\$	\$	\$
	<b>Budget Adoption - Closing Balance</b>	0967/20				229,113
38180/1104	WESROC expenditure	CEO as per LG506		170,000		399,113
13120/1104	WESROC revenue	CEO as per LG506			(170,000)	229,113
26110/0503	Increase in patrols Claremont Oval - dog park (salaries)	159/20			(8,700)	220,413
28230/0503	Increased signage expenses - Claremont Oval dog park	159/20			(3,650)	216,763
28120/0503	Increased advertising - Claremont Oval dog park	159/20			(1,650)	215,113
28540/1105	Increase in doggy bags - Claremont Oval dog park	159/20			(1,000)	214,113
			0	170,000	(185,000)	214,113

**Town of Claremont**  
**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY**  
**For the Period Ended 31 December 2020**

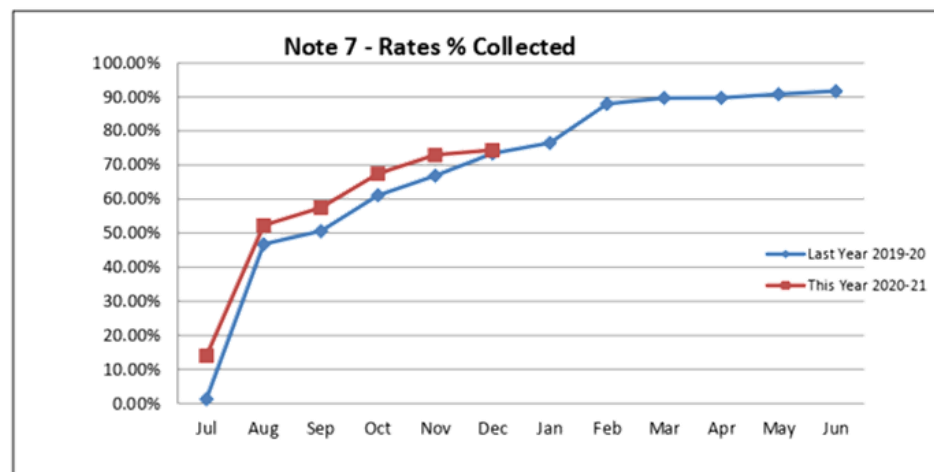
**Note 7: RECEIVABLES**

Receivables - Rates, UGP, ESL Levy, Rubbish and other charges.

Opening Arrears Previous Years  
Rates, UGP and other charges Levied this year  
Less Collections to date  
Equals Current Outstanding

**Net Collectable**  
% Collected

	Rates 2020-21	UGP 2020-21	Total 2020-21	Previous 2019-20
	\$			\$
Opening Arrears Previous Years	338,657	1,245,599	1,584,256	1,963,054
Rates, UGP and other charges Levied this year	17,907,178	1,548	17,908,726	15,285,220
Less Collections to date	(13,575,495)	(225,915)	(13,801,410)	(15,664,018)
Equals Current Outstanding	4,670,340	1,021,231	5,691,572	1,584,256
<b>Net Collectable</b>	4,670,340	1,021,231	5,691,572	1,584,256
% Collected	74.40%	18.11%	70.80%	90.81%



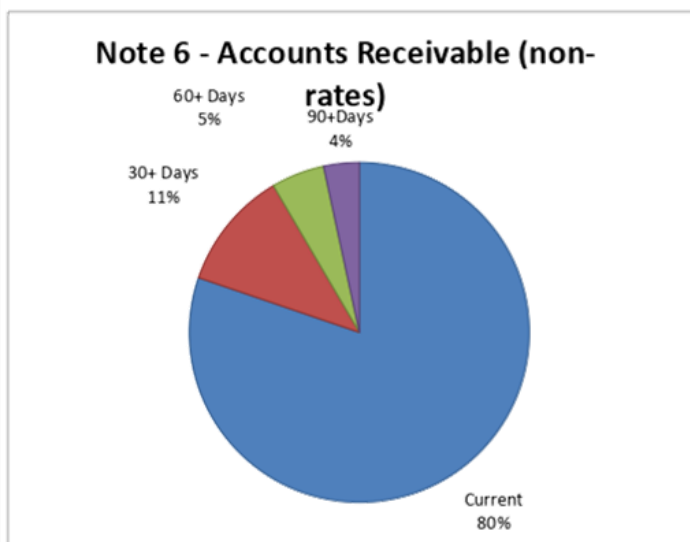
**Comments/Notes - Rates**

In the October 2020 monthly report, the rates receivables data was split between Rates and UGP, giving an accurate percentage of rates receivable for the financial year as not all of the UGP receivable is due by 30/6/21. The data in the above graph is not directly comparable to months prior to October 2020.

**Receivables - General**

	Current	30+ Days	60+ Days	90+Days
	\$	\$	\$	\$
	79,177	11,186	4,979	3,343
<b>Total Outstanding</b>				<b>98,686</b>

Amounts shown above include GST (where applicable)



**Comments/Notes - Receivables General**

**Town of Claremont**  
**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY**  
**For the Period Ended 31 December 2020**

**Note 8: GRANTS AND CONTRIBUTIONS**

Program/Details	Provider	Approval (Yes/No)	2020-21 Budget YTD	Recoup Status	
				Received	Not Received (not budgeted)
<b>Claremont Now</b>			\$	\$	\$
Op Specified Area Rates	BID	Yes			0
<b>General Purpose</b>					
Op Grant Commission	WALGCC	Yes			0
Op Pensioners Deferred Interest Grant	Dept of Finance	Yes			0
Op Formula Road Grant		Yes			0
Op Financial Assistance Grant		Yes	76,098	77,288	(1,190)
<b>Law order &amp; public safety</b>		Yes			0
<b>Governance</b>					0
Op Member Contribution for employee well being	LGIS	Yes			0
Op Statutory Outgoings SMH	FORM	Yes			0
<b>Recreation and Culture</b>					
Non Op McKenzie Pavilion Upgrade		Yes			0
Non Op Museum Redevelopment		Yes			0
Op Library	Good Things Foundation	Yes		1,000	(1,000)
Non Op Pool - Splashpad development		Yes			0
<b>Community Amenities</b>		Yes			0
Op Better Bins Program Grant Funding		Yes			0
<b>Transport</b>					0
Op Grants Commission - roads	WALGCC	Yes			0
Op COVID payment for the Aquatic Centre project	Department of Infra.	Yes		52,005	(52,005)
Op Local Road Grant	WALGCC	Yes			0
Op 20/21 Direct Grant MRRG	MRRG	Yes	25,600	25,920	(320)
Non Op Road Works Grants	Main Roads	Yes	9,380	5,280	4,100
Non Op Cresswell Irrigation Works	DLGSC	Yes			
Non Op RTR	Department of Infra.	Yes			0
<b>Community Development</b>					
Non Op 2020/21 annual contribution to statutory outgoings	Form	Yes	3,496		3,496
Non Op 2020/21 Seniors Week Grant					0
Non Op Other - National Australia Day Council				1,000	(1,000)
<b>Other</b>					0
Non Op Heritage					0
<b>TOTALS</b>			<b>114,574</b>	<b>162,493</b>	<b>(46,919)</b>

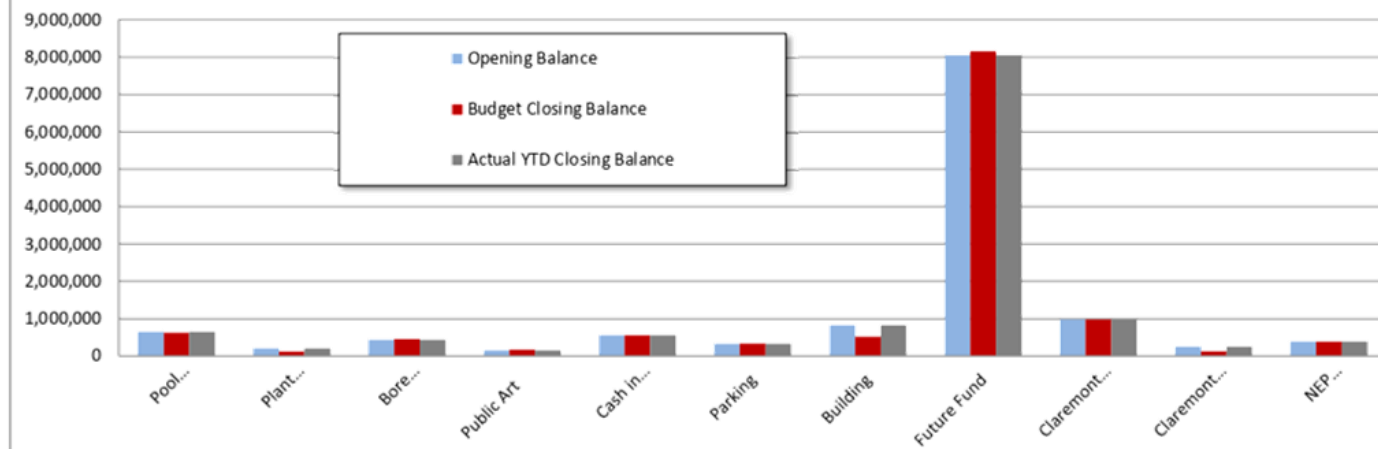
Comments - Grants and Contributions

**Town of Claremont**  
**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY**  
**For the Period Ended 31 December 2020**

**Note 9: Cash Backed Reserve**

Name	Opening Balance	Budget Interest Earned	Actual Interest Earned	Budget Transfers In (+)	Actual Transfers In (+)	Budget Transfers Out (-)	Actual Transfers Out (-)	Budget Closing Balance	Actual YTD Closing Balance
	\$	\$	\$	\$	\$	\$	\$	\$	\$
Pool Upgrade	644,899	5,500				(30,000)		620,399	644,899
Plant Replacement	200,302	3,300				(85,000)		118,602	200,302
Bore Replacement	433,108	2,200		20,000				455,308	433,108
Public Art	148,304	2,200		20,000				170,504	148,304
Cash in lieu Reserve	552,034	2,652						554,686	552,034
Parking	329,414	1,100						330,514	329,414
Building	823,561	5,500				(315,000)		514,061	823,561
Future Fund	8,049,820	16,590	692	85,000				8,151,410	8,050,512
Claremont Joint Venture	977,952	2,200						980,152	977,952
Claremont NOW	244,319	2,200				(120,000)		126,519	244,319
NEP Developer Contribution	389,240	1,100						390,340	389,240
Heritage Grant Reserve	73,057	1,100						74,157	73,057
Employee Entitlement Reserve				200,000				200,000	0
	<b>12,866,007</b>	<b>45,642</b>	<b>692</b>	<b>325,000</b>	<b>0</b>	<b>(550,000)</b>	<b>0</b>	<b>12,686,649</b>	<b>12,866,699</b>

**Note 8 - Year To Date Reserve Balance to End of Year Estimate**



**9A RESERVES - CASH/INVESTMENT BACKED (CONTINUED)**

In accordance with council resolutions in relation to each reserve account, the purpose for which the funds are set aside are as follows:

- (a) **Pool Upgrade.**
  - to fund major maintenance of the Claremont Pool.
- (b) **Plant Reserve**
  - to provide for the replacement of major items of heavy plant.
- (c) **Bore Replacement**
  - to be used for the replacement of Park bores.
- (d) **Public Art**
  - to assist with the programmed purchase and development of Public Art assets throughout the Town.
- (e) **Cash in lieu**
  - to provide for the purchase of land for car parking in accordance with Clause 33(2).
- (e) **Parking**
  - provide for the purchase, upgrade or renewal of parking infrastructure.
- (f) **Building**
  - to provide for building renewal in accordance with Council's Asset Management Plans.
- (g) **Future Fund**
  - to receive proceeds of Lakeway Subdivision sales and to provide for the future planning and undertaking of capital and infrastructure works in
- (h) **Claremont Joint Venture**
  - to provides for traffic modifications/road works within the Town Centre zone and the surrounding roads.
- (i) **Claremont Now**
  - to fund promotion and publicity of claremont CBD.
- (j) **NEP Developer Contribution Reserve**
  - To accumulate funds to cover the Town's Contribution to NEP Development arising from ownership of Lot 11578 Claremont Cresnet.
- (k) **Heritage Grant Reserve**
  - To assist with funding of the Town's Heritage Grant Maintenance program.
- (l) **Employee Entitlement Reserve**
  - To fund annual and long service leave requirements

**Town of Claremont**  
**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY**  
**For the Period Ended 31 December 2020**

**Note 10: CAPITAL DISPOSALS AND ACQUISITIONS**

Profit(Loss) of Asset Disposal				Disposals	Profit (Loss)			
Valuation as at 01 July 2019	Accum Depr	Proceeds	Profit (Loss)		Budget	YTD Budget	YTD Actual	Variance
\$	\$	\$	0		\$		\$	\$
31,410	(11,319)	29,318	9,227	PE416 - Manager Engineering Ser. 1GNI730*	(5,320)	(5,320)	9,227	14,547
27,605	(8,969)	26,364	7,728	PE417 - Manager Env. Health 1GNI731	(3,963)	(3,963)	7,728	11,691
31,712	(11,189)	27,273	6,750	PE418 - Manager Planning 1GOH985	(6,650)	(6,650)	6,750	13,400
			0	PE399 - Rangers 1GDY694*	373	373	0	(373)
			0	PE358 - Water Tanker 1EGK702*	17,285	17,285	0	(17,285)
			0	PE410 - Field Officer Works 1GJX084	(500)	0	0	500
			0	PE411 - Field Officer Maintenance 1GJX085	(4,819)	0	0	4,819
90,727	(31,477)	82,955	23,705	<b>Totals</b>	<b>(3,594)</b>	<b>1,725</b>	<b>23,705</b>	<b>27,299</b>

**Comments - Capital Disposal**

\* Vehicle disposal has been budgeted but has not been finalised yet.

Contributions Information				Summary Acquisitions	Current Budget			
Grants	Reserves	Borrowing	Total		Annual Budget	YTD Budget	YTD Actual	Variance
\$	\$	\$	\$		\$		\$	\$
0	0	0	0	<b>Property, Plant &amp; Equipment</b>				
0	0	0	0	Land and Buildings	4,613,000	370,720	330,240	(40,480)
0	0	0	0	Plant & Equipment	256,850	96,550	111,031	14,481
0	0	0	0	Furniture & Equipment	261,000	93,000	11,261	(81,739)
0	0	0	0	<b>Infrastructure</b>				
0	0	0	0	Roadworks	2,205,169	1,234,544	855,752	(378,792)
0	0	0	0	Footpath & Cycleways	326,262	40,000	49,207	9,207
0	0	0	0	Parks, Gardens & Reserves	263,908	65,000	59,691	(5,309)
0	0	0	0	Other Infrastructure	280,800	150,800	2,646	(148,154)
0	0	0	0	<b>Totals</b>	<b>8,206,989</b>	<b>2,050,614</b>	<b>1,419,828</b>	<b>(630,786)</b>

Contributions				Land & Buildings	Current Budget			
Grants	Reserves	Borrowing	Total		Annual Budget	YTD Budget	YTD Actual	Variance
\$	\$	\$	\$		\$		\$	\$
0	0	0	0	20-21 Depot Facility	200,000	200,000	24,180	(175,820)
0	0	0	0	16-17 Freshwater Bay Museum	1,537,300	0	28,978	28,978
0	0	0	0	19-20 McKenzie Pavilion Redevelopment	2,478,900	0	99,928	99,928
0	0	0	0	20-21 Bowling Club improvement	75,000	0	65,297	65,297
0	0	0	0	20-21 Aquatic Centre	70,000	70,000	41,045	(28,955)
0	0	0	0	20-21 Aquatic Centre Geo Thermal Bore	110,000	44,000	0	(44,000)
0	0	0	0	20-21 Building renewal program	141,800	56,720	70,812	14,092
0	0	0	0	<b>Totals</b>	<b>4,613,000</b>	<b>370,720</b>	<b>330,240</b>	<b>(40,480)</b>

**Comments - Land & Buildings**

Contributions				Plant & Equipment	Current Budget			
Grants	Reserves	Borrowing	Total		Annual Budget	YTD Budget	YTD Actual	Variance (Under)Over
\$	\$	\$	\$		\$		\$	\$
0	0	0	0	Vehicle for Health	16,500	16,500	31,828	15,328
0	0	0	0	Vehicle for Rangers	15,400	15,400	0	(15,400)
0	0	0	0	Vehicle for Planning	16,500	16,500	31,159	14,659
0	0	0	0	Christmas Lighting & Christmas Tree	30,000	30,000	13,944	(16,056)
0	0	0	0	Vehicle for Infra.	18,150	18,150	34,100	15,950
0	0	0	0	Vehicle for Depots and Water Truck	160,300	0	0	0
0	0	0	0	<b>Totals</b>	<b>256,850</b>	<b>96,550</b>	<b>111,031</b>	<b>14,481</b>

**Comments - Plant & Equipment**



Town of Claremont  
NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY  
For the Period Ended 31 December 2020

**Note 10: CAPITAL DISPOSALS AND ACQUISITIONS**

Contributions				Furniture & Electronic Equipment	Current Budget This Year			
Grants	Reserves	Borrowing	Total		Budget	YTD Budget	Actual	Variance (Under)Over
\$	\$	\$	\$		\$		\$	\$
				CCTV Upgrade & Scanning Software	13,000	13,000	2,736	(10,264)
				Aquatic Centre Radio			8,525	8,525
				CCTV Upgrade	198,000	30,000	0	(30,000)
				IT/AV Equipment Council Chambers	50,000	50,000	0	(50,000)
0	0	0	0	<b>Totals</b>	<b>261,000</b>	<b>93,000</b>	<b>11,261</b>	<b>(81,739)</b>

**Comments - Furniture & Equipment**

Contributions				Other Infrastructure	Current Budget This Year			
Grants	Reserves	Borrowing	Total		Annual Budget	YTD Budget	YTD Actual	Variance (Under)Over
\$	\$	\$	\$		\$		\$	\$
				<u>Road Works</u>				
0				Intersections	70,000	70,000	0	(70,000)
0				Roadworks	2,135,169	1,164,544	855,752	(308,792)
				Footpath, Car Park & Cycleways				
0				Other works	326,262	40,000	49,207	9,207
				Parks, Gardens & Reserves				
0				Lake Claremont Park Development	25,000	25,000	0	(25,000)
0				Other Parks	238,908	40,000	59,691	19,691
0				Other Infrastructure	280,800	150,800	2,646	(148,154)
0	0	0	0	<b>Totals</b>	<b>3,076,139</b>	<b>1,490,344</b>	<b>967,296</b>	<b>(523,048)</b>

**Comments - Other Infrastructure**

**Town of Claremont**  
**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY**  
**For the Period Ended 31 December 2020**

**Note 11: TRUST FUND**

Funds held at balance date over which the Council has no control and which are not included in this statement are as follows:

	Opening Balance 1-Jul-20	Amount Received	Amount Paid	Closing Balance
	\$	\$	\$	\$
BCITF Fees	0	43,359	(43,359)	0
Build Services Levy	0	36,350	(36,350)	0
DAP Fees	0	241	(241)	0
Other Trust Bonds	0	4,957	(4,957)	0
	0	84,907	(84,906)	0

**Comments/Notes - Trust**

The monies that were held in Trust by the Town of Claremont are no longer required to be kept in trust and have been moved into the Town's Municipal account.

The following is an extract from the "Western Australia local government position paper 1" issued by the Office of the Auditor General.

"Unless agreements between developers/hirers and the entity require bond moneys to be held in the Trust Fund, they should not be held in the Trust Fund. There are no provisions in the Act or any other written law that specify that work bonds, building bonds and hire bonds are to be credited to, or held in, the Trust Fund, and these moneys are not held in trust. Consequently, section 6.9 of the Act is not applicable to these funds, and they should be held in the Municipal Fund."

As a consequence, these bonds, building levies and fees are now held in the Municipal Fund, and are recognised as an asset (Cash and Cash Equivalents) in the Statement of Financial Position, with a corresponding liability (accounts payable) to recognise that the funds are owed to developers/hirers/DMIRS etc. Interest earned while the funds are in the Municipal Fund, are recognised as revenue in the Statement of Comprehensive Income.

2020-21 Infrastructure Works  
Progress Update to 31 December 2020

Dept	Activity	Project	Budget Annual	Budget YTD	Actual YTD	Variance YTD	Comments
1201	51225	14-15 Graylands & Lapsley Rd Intersection	\$70,000.00	\$70,000.00	\$0.00	\$70,000.00	Report to be presented to Council in Feb 2021
1201	60138	17-18 Signage Program	\$0.00	\$0.00	\$36,163.86	-\$36,163.86	Claremont Signage, 19/20 project
1201	60141	18-19 Loch St, Stirling Hwy to Melville St - Resheet	\$23,400.00	\$0.00	\$0.00	\$0.00	Project cancelled, funds returned to MRRG
1201	60184	19-20 Melville Ave Btw Loton & Parker Road Resheet	\$196,000.00	\$196,000.00	\$146,338.17	\$49,661.83	Works completed
1201	60189	19-20 Lapsley Rd Btw Davies & Graylands Road Resheet	\$62,147.00	\$62,147.00	\$0.00	\$62,147.00	To be carry forward next FY
1201	60199	19-20 Princess Road and BVT Nibs & Line marking	\$20,000.00	\$0.00	\$0.00	\$0.00	Works scheduled February 2021
1201	60203	19-20 Princess Road and BVT Nibs & Line marking	\$0.00	\$0.00	\$17,682.98	-\$17,682.98	Works scheduled February 2021
1201	60210	19-20 Derby St West Btw Wood & Brassey Fpath	\$0.00	\$0.00	\$11,184.03	-\$11,184.03	Works completed (2019-20 FY project)
1201	60214	19-20 Stirling Hwy North Btw Avion & Stirling Rd F	\$0.00	\$0.00	\$1,001.00	-\$1,001.00	Works completed (2019-20 FY project)
1201	60216	19-20 Lapsley Road upper golf car park upgrade	\$286,262.00	\$0.00	\$0.00	\$0.00	Works pending outcomes of Town Centre Activity Centre Plan
1201	60219	19-20 Freshwater Close Street lighting upgrade	\$100,000.00	\$100,000.00	\$2,646.00	\$97,354.00	Draft designs complete, final design pending, likely installation early 2021
1104	60335	20-21 Reticulation injection systems	\$10,000.00	\$10,000.00	\$10,909.09	-\$909.09	Works completed - Claremont Park and Rowe Park
1104	60336	20-21 Playgrounds Renewal	\$49,000.00	\$0.00	\$0.00	\$0.00	Provisional sum, scope of works to be confirmed - Possible use for Stirling Rd Nature Play additions
1104	60337	20-21 Reticulation	\$49,808.00	\$0.00	\$0.00	\$0.00	Provisional sum, scope of works to be confirmed - Possible use for Ashton Ave renewal
1104	60338	20-21 Pumps Renewal	\$32,840.00	\$0.00	\$0.00	\$0.00	Provisional sum, scope of works to be confirmed
1104	60339	20-21 Electrical Cabinets	\$30,000.00	\$0.00	\$0.00	\$0.00	Provisional sum, scope of works to be confirmed
1104	60340	20-21 Bores Renewal	\$20,760.00	\$0.00	\$48,782.40	-\$48,782.40	Some misallocations to be journaled out
1104	60341	20-21 Flowmeters Renewal	\$16,500.00	\$0.00	\$0.00	\$0.00	Provisional sum, scope of works to be confirmed
1104	60342	20-21 Fencing revegetation site Lake Claremont	\$25,000.00	\$25,000.00	\$0.00	\$25,000.00	Works completed - expenses misallocated, will be journaled here
1104	60343	20-21 Lime stone Path Repairs	\$40,000.00	\$40,000.00	\$0.00	\$40,000.00	Works scheduled April 2020
1104	60344	20-21 Claremont Parkland Dog Agility Area	\$30,000.00	\$30,000.00	\$0.00	\$30,000.00	Quotes requested December 2020 - waiting on response from supplier
1104	60345	20-21 Foreshore Management Plan	\$20,800.00	\$20,800.00	\$0.00	\$20,800.00	Report due for completion January 2021
1201	60346	20-21 Aggett Road	\$157,647.00	\$157,647.00	\$125,864.78	\$31,782.22	Works completed October 2020
1201	60347	20-21 Butler Avenue	\$119,781.00	\$0.00	\$0.00	\$0.00	Works scheduled February 2021
1201	60348	20-21 Dunbar Road	\$145,563.00	\$0.00	\$0.00	\$0.00	Works scheduled April 2021
1201	60349	20-21 King Street	\$82,139.00	\$0.00	\$0.00	\$0.00	Works scheduled April 2021
1201	60350	20-21 Scott Street	\$57,708.00	\$57,708.00	\$51,340.70	\$6,367.30	Works completed
1201	60351	20-21 Senate Street	\$162,900.00	\$0.00	\$0.00	\$0.00	Works ongoing
1201	60352	20-21 Walter Street	\$209,224.00	\$0.00	\$0.00	\$0.00	Works ongoing
1201	60353	20-21 Congdon Bridge Projects	\$40,000.00	\$0.00	\$0.00	\$0.00	On hold until further information received from Main Roads WA
1201	60354	20-21 Guger St Design Project	\$30,000.00	\$0.00	\$0.00	\$0.00	To Align with Metronet project, possible designs in 2021
1201	60355	20-21 Right of Ways	\$100,000.00	\$0.00	\$0.00	\$0.00	Provisional sum, scope of works to be confirmed - ROW 64, 65, 66
1201	60356	20-21 Drainage	\$60,000.00	\$30,000.00	\$0.00	\$30,000.00	Ongoing works, provisional sum
1201	60357	20-21 Dunbar Road west	\$54,982.00	\$0.00	\$0.00	\$0.00	Works scheduled April 2021
1201	60358	20-21 Fern Street north	\$36,514.00	\$36,514.00	\$39,334.08	-\$2,820.08	Works completed
1201	60359	20-21 Goldsmith Road north	\$52,733.00	\$52,733.00	\$898.68	\$51,834.32	Report to Council November 2020, works delayed to early 2021
1201	60360	20-21 Freshwater Parade west	\$13,747.00	\$13,747.00	\$9,092.66	\$4,654.34	Works completed
1201	60361	20-21 Judge Avenue north	\$32,925.00	\$32,925.00	\$23,917.28	\$9,007.72	Works completed
1201	60362	20-21 King Street north	\$24,617.00	\$0.00	\$0.00	\$0.00	Works scheduled April 2021
1201	60363	20-21 Mitford Street south	\$44,339.00	\$0.00	\$0.00	\$0.00	Works scheduled April 2021
1201	60364	20-21 Pennell Road south	\$51,863.00	\$51,863.00	\$28,856.36	\$23,006.64	Works completed, waiting final invoices
1201	60365	20-21 Prospect Street north	\$23,122.00	\$23,122.00	\$30,144.78	-\$7,022.78	Works completed
1201	60366	20-21 Riley Road north	\$101,358.00	\$101,358.00	\$26,146.18	\$75,211.82	Works completed, waiting final invoices
1201	60367	20-21 Rob Roy Street north	\$15,239.00	\$15,239.00	\$16,100.77	-\$861.77	Works completed
1201	60368	20-21 Shenton Road north	\$76,327.00	\$76,327.00	\$85,513.49	-\$9,186.49	Works completed
1201	60369	20-21 Wood Street south	\$32,501.00	\$32,501.00	\$40,717.40	-\$8,216.40	Works completed
1201	60370	20-21 Stirling Highway North	\$108,103.00	\$108,103.00	\$82,905.41	\$25,197.59	Works completed
1201	60371	20-21 Cliff Road East	\$13,680.00	\$0.00	\$0.00	\$0.00	Works ongoing
1201	60372	20-21 Grange Street East	\$73,530.00	\$73,530.00	\$41,900.62	\$31,629.38	Works completed
1201	60373	20-21 Loch Street West	\$73,080.00	\$73,080.00	\$70,517.04	\$2,562.96	Works completed
1201	60379	20-21 414 Stirling Hwy - Footpath Renewal	\$0.00	\$0.00	\$19,338.53	-\$19,338.53	No Budget. Privately funded works.
Total 2020-21 Infrastructure Works			\$3,076,139.00	\$1,490,344.00	\$967,296.29	\$523,047.71	

**14 ANNOUNCEMENTS BY THE PRESIDING PERSON**

**15 ELECTED MEMBERS' MOTIONS OF WHICH PREVIOUS NOTICE HAS BEEN GIVEN**

Nil

**16 NEW BUSINESS OF AN URGENT NATURE APPROVED BY THE PRESIDING PERSON OR BY DECISION OF MEETING**

**17 CONFIDENTIAL MATTERS FOR WHICH THE MEETING MAY BE CLOSED TO THE PUBLIC**

**18 FUTURE MEETINGS OF COUNCIL**

Ordinary Council Meeting, Tuesday 2 March 2021 at 7.00pm.

**19 DECLARATION OF CLOSURE OF MEETING**