

# AGENDA FOR THE AUDIT COMMITTEE

Wednesday, 21 March 2018

Wannamal Hall  
Lot R9751 Bindoon-Moora Road  
WANNAMAL WA 6505

Commencement: 5.30pm



## OBJECTIVES

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

Reports from the committee will assist Council in discharging its legislative responsibilities of controlling the local government's affairs, determining the local government's policies and overseeing the allocation of the local government's finances and resources. The committee will ensure openness in the local government's financial reporting and will liaise with the Chief Executive Officer to ensure the effective and efficient management of local government's financial accounting systems and compliance with legislation.

The committee is to facilitate:

- (a) the enhancement of the credibility of external financial reporting
- (b) compliance with laws and regulations as well as use of best practise guidelines relative to auditing
- (c) the provision of an effective means of communication between the external auditor, the Chief Executive Officer and the Council.

## Membership

The committee shall consist of all elected members. All members shall have full voting rights. The Chief Executive Officer and employees are not members of the committee. The Chief Executive Officer and Executive Manager Corporate Services (or their nominee) is to attend all meetings to provide advice and guidance to the committee. The local government shall provide secretarial and administrative support to the committee.

## Duties and Responsibilities

The duties and responsibilities of the SOCAC will be to—

- (a) Provide guidance and assistance to Council as to the carrying out of the functions of the local government in relation to audits.
- (b) Develop and recommend to Council an appropriate process for the selection and appointment of a person as the local government's auditor.
- (c) Develop and recommend to Council—
  - i. a list of those matters to be audited,
  - ii. the scope to be undertaken.
- (d) Recommend to Council the person or persons to be appointed as auditor.
- (e) Develop and recommend to Council a written agreement for the appointment of the auditor. The agreement is to include—
  - i. the objectives of the audit,
  - ii. the scope of the audit,
  - iii. a plan of the audit,
  - iv. details of the remuneration and expenses to be paid to the auditor,
  - v. the method to be used by the local government to communicate with, and supply information to, the auditor.
- (f) Liaise with the Chief Executive Officer to ensure that the local government does everything in its power to—
  - i. assist the auditor to conduct the audit and carry out his or her other duties under the *Local Government Act 1995*,
  - ii. ensure that audits are conducted successfully and expeditiously.
- (g) Examine the reports of the auditor after receiving a report from the Chief Executive Officer on the matters and—
  - i. determine if any matters raised require action to be taken by the local government,
  - ii. ensure that appropriate action is taken in respect of those matters.
- (h) Review the report prepared by the Chief Executive Officer on any actions taken in respect of any matters raised in the report of the auditor and presenting the report to Council for adoption prior to the end of the next financial year or six months after the last report prepared by the auditor is received, whichever is the latest in time.
- (i) Review the scope of the audit plan and program and its effectiveness.
- (j) Address issues brought to the attention of the Committee, including responding to requests from Council for advice that are within the parameters of the Committee's "Terms of Reference".
- (k) Seek information or obtain expert advice through the Chief Executive Officer on matters of concern within the scope of the Committee's "Terms of Reference" following authorisation from the Council.

## Delegated Authority

Nil

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\* indicates separate attachments

Notice is hereby given that the next meeting of the **Audit Committee** will be **Wednesday, 21 March 2018** in the **Wannamal Hall, Bindoon-Moora Road, Wannamal** commencing at **5.30pm**.



**ALAN SHERIDAN**  
Chief Executive Officer

## **1. DECLARATION OF OPENING OF MEETING / ANNOUNCEMENTS OF VISITORS**

The Chairperson to declare the meeting open.

## **2. RECORD OF ATTENDANCE / APOLOGIES / APPROVED LEAVE OF ABSENCE**

### **2.1 Attendance**

The following members have confirmed their attendance:

Members: Cr Peter Osborn Deputy President (Deputy)  
Cr Aaron King  
Cr Carmel Ross  
Cr Mary Angus  
Cr George Tilbury

Quorum – 6 members

Observers: Rhona Hawkins Executive Manager Corporate Services  
Wen-Shein Chai Moore Stephens  
Natasha Mossman Executive Support Officer (Secretary)

### **2.2 Apologies**

Alan Sheridan Chief Executive Officer

### **2.3 Approved leave of absence**

Nil

## **3. DISCLOSURE OF INTEREST**

#### 4. PUBLIC QUESTION TIME

##### 4.1 Public question time

#### 5. CONFIRMATION OF MINUTES: Wednesday, 15 March 2017

##### 5.1 OFFICER RECOMMENDATION

That the minutes of the Audit Committee meeting held on Wednesday, 15 March 2017 be confirmed as a true and correct record of proceedings.

#### 6. PURPOSE OF MEETING

##### 6.1 Teleconference with Moore Stephens (Wen-Shein Chai)

Wen-Shein Chai from Moore Stephens will address the meeting.

The *Local Government Act 1995* states:

**7.12A Duties of local government with respect to audits**

(2) *without limiting the generality of subsection (1), a local government is to meet with the auditor of the local government at least once in every year.*

## 6.2 Local Government Compliance Audit Return for 2017\*

<b>Applicant</b>	Shire of Chittering
<b>File ref</b>	04/02/0002
<b>Prepared by</b>	Executive Support Officer
<b>Supervised by</b>	Executive Manager Corporate Services
<b>Voting requirements</b>	Simple Majority
<b>Attachments</b>	1. Compliance Audit Return for 2017

### Executive Summary

The Audit Committee is requested to review the Compliance Audit Return for 2017 and present to Council for adoption prior to 31 March 2018.

### Background

Each local government is to carry out a Compliance Audit for the period 1 January to 31 December against certain requirements included within a Compliance Audit Return (CAR) provided by the Department of Local Government.

The CAR, once completed, is to be presented to the Audit Committee and then a report is to be presented to Council for adoption of the return.

A copy of the completed CAR is attached (**Attachment 1**).

### Consultation/Communication Implications

#### Local

Chief Executive Officer  
Executive Manager Corporate Services  
Executive Manager Technical Services

#### State

Nil

### Legislative Implications

#### State

- *Local Government Act 1995*
- *Local Government (Functions and General) Regulations*
- *Local Government (Administration) Regulations*
- *Local Government (Rules of Conduct) Regulations*
- *Local Government (Elections) Regulations*
- *Local Government (Audit) Regulations*

#### Local

Nil

### Policy Implications

#### State

Nil

#### Local

Nil

### Financial Implications

Nil

### Strategic Implications

#### Local

Nil

#### State

Nil

### Site Inspection

Not applicable

### Triple Bottom Line Assessment

#### Economic implications

There are no known significant economic implications associated with this proposal.

#### Social implications

There are no known significant social implications associated with this proposal.

#### Environmental implications

There are no known significant environmental implications associated with this proposal.

### Officer Comment/Details

The CAR for the 2017 calendar year has been completed by the Chief Executive Officer, Executive Manager Corporate Services, Executive Manager Technical Services and the Executive Support Officer.

The CAR for 2017 continues in the reduced format introduced in 2011, with the areas of compliance restricted to those considered high risk.

The areas of compliance for 2017 are as follows:

#### ***Commercial Enterprise by Local Governments***

No noted areas on non-compliance.

#### ***Delegation of Power/Duty***

No noted areas of non-compliance.

#### ***Disclosure of Interest***

No noted areas of non-compliance.

***Disposal of Property***

No noted areas of non-compliance.

***Elections***

No noted areas of non-compliance.

***Finance***

No noted areas of non-compliance.

***Integrated Planning and Reporting***

No noted areas of non-compliance.

***Local Government Employees***

No noted areas of non-compliance.

***Official Conduct***

No noted areas of non-compliance.

***Tendering for Providing Goods and Services***

No noted areas of non-compliance.

It is recommended that the Audit Committee review the CAR and recommend to Council that the CAR be adopted by Council at the next Ordinary meeting to be held on 21 March 2018.

**6.2 OFFICER RECOMMENDATION**

**That the Audit Committee reviews the Local Government Compliance Audit Return for the period 1 January 2017 to 31 December 2017 and presents to Council for adoption.**

**7. CLOSURE**

The Chairperson to declare the meeting closed.



**Item 6.2**

**Attachment 1**

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



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

**Chittering - Compliance Audit Return 2017**

**Certified Copy of Return**

Please submit a signed copy to the Director General of the Department of Local Government, Sport and Cultural Industries together with a copy of section of relevant minutes.

<b>Commercial Enterprises by Local Governments</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s3.59(2)(a)(b)(c) F&G Reg 7,9	Has the local government prepared a business plan for each major trading undertaking in 2017.	N/A	No major tradings were undertaken during 2017	Natasha Mossman
2	s3.59(2)(a)(b)(c) F&G Reg 7,10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2017.	N/A	No major tradings were undertaken during 2017	Natasha Mossman
3	s3.59(2)(a)(b)(c) F&G Reg 7,10	Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in 2017.	N/A	No major tradings were undertaken during 2017	Natasha Mossman
4	s3.59(4)	Has the local government given Statewide public notice of each proposal to commence a major trading undertaking or enter into a major land transaction for 2017.	N/A	No major tradings were undertaken during 2017	Natasha Mossman
5	s3.59(5)	Did the Council, during 2017, resolve to proceed with each major land transaction or trading undertaking by absolute majority.	N/A	No major tradings were undertaken during 2017	Natasha Mossman

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<b>Delegation of Power / Duty</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s5.16, 5.17, 5.18	Were all delegations to committees resolved by absolute majority.	N/A	There are no delegations given to Committees	Natasha Mossman
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing.	N/A	There are no delegations given to Committees	Natasha Mossman
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17.	N/A	There are no delegations given to Committees	Natasha Mossman
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations.	N/A	There are no delegations given to Committees	Natasha Mossman
5	s5.18	Has Council reviewed delegations to its committees in the 2016/2017 financial year.	N/A	There are no delegations given to Committees	Natasha Mossman
6	s5.42(1),5.43 Admin Reg 18G	Did the powers and duties of the Council delegated to the CEO exclude those as listed in section 5.43 of the Act.	Yes		Natasha Mossman
7	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO resolved by an absolute majority.	Yes		Natasha Mossman
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing.	Yes		Natasha Mossman
9	s5.44(2)	Were all delegations by the CEO to any employee in writing.	Yes		Natasha Mossman
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority.	Yes		Natasha Mossman
11	s5.46(1)	Has the CEO kept a register of all delegations made under the Act to him and to other employees.	Yes		Natasha Mossman
12	s5.46(2)	Were all delegations made under Division 4 of Part 5 of the Act reviewed by the delegator at least once during the 2016/2017 financial year.	Yes	Tabled at the Ordinary Council Meeting held on 21 June 2017 (Resolution 090617)	Natasha Mossman
13	s5.46(3) Admin Reg 19	Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record as required.	Yes		Natasha Mossman

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

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No	Reference	Question	Response	Comments	Respondent
3	s5.73	Were disclosures under section 5.65 or 5.70 recorded in the minutes of the meeting at which the disclosure was made.	Yes		Natasha Mossman
4	s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly elected members within three months of their start day.	Yes		Natasha Mossman
5	s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly designated employees within three months of their start day.	Yes		Natasha Mossman
6	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2017.	Yes		Natasha Mossman
7	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2017.	Yes		Natasha Mossman
8	s5.77	On receipt of a primary or annual return, did the CEO, (or the Mayor/ President in the case of the CEO's return) on all occasions, give written acknowledgment of having received the return.	Yes		Natasha Mossman
9	s5.88(1)(2) Admin Reg 28	Did the CEO keep a register of financial interests which contained the returns lodged under section 5.75 and 5.76	Yes		Natasha Mossman
10	s5.88(1)(2) Admin Reg 28	Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70 and 5.71, in the form prescribed in Administration Regulation 28.	Yes		Natasha Mossman
11	s5.88 (3)	Has the CEO removed all returns from the register when a person ceased to be a person required to lodge a return under section 5.75 or 5.76.	Yes		Natasha Mossman
12	s5.88(4)	Have all returns lodged under section 5.75 or 5.76 and removed from the register, been kept for a period of at least five years, after the person who lodged the return ceased to be a council member or designated employee.	Yes		Natasha Mossman
13	s5.103 Admin Reg 34C & Rules of Conduct Reg 11	Where an elected member or an employee disclosed an interest in a matter discussed at a Council or committee meeting where there was a reasonable belief that the impartiality of the person having the interest would be adversely affected, was it recorded in the minutes.	Yes		Natasha Mossman
14	s5.70(2)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to the Council or a Committee, did that person disclose the nature of that interest when giving the advice or report.	Yes		Natasha Mossman

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

**Disposal of Property**

No	Reference	Question	Response	Comments	Respondent
1	s3.58(3)	Was local public notice given prior to disposal for any property not disposed of by public auction or tender (except where excluded by Section 3.58(5)).	N/A	Fleet assets were disposed of via public auction	Natasha Mossman
2	s3.58(4)	Where the local government disposed of property under section 3.58(3), did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property.	N/A	As above	Natasha Mossman

**Elections**

No	Reference	Question	Response	Comments	Respondent
1	Elect Reg 30G (1)	Did the CEO establish and maintain an electoral gift register and ensure that all 'disclosure of gifts' forms completed by candidates and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the candidates.	Yes		Natasha Mossman

**Finance**

No	Reference	Question	Response	Comments	Respondent
1	s7.1A	Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Act.	Yes	Audit Committee members appointed by Absolute Majority by Council on 25 October 2017 - Resolution 131017	Natasha Mossman
2	s7.1B	Where a local government determined to delegate to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority.	N/A	The Audit Committee do not have any Delegated Authority	Natasha Mossman
3	s7.3	Was the person(s) appointed by the local government to be its auditor, a registered company auditor.	Yes	Moore Stephens	Natasha Mossman

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No	Reference	Question	Response	Comments	Respondent
4	s7.3, 7.6(3)	Was the person or persons appointed by the local government to be its auditor, appointed by an absolute majority decision of Council.	Yes	Moore Stephens were appointed the Shire's auditors by Absolute Majority on 17 August 2016 for a term of three years (expires 30 June 2019) - Resolution 140816	Natasha Mossman
5	Audit Reg 10	Was the Auditor's report for the financial year ended 30 June 2017 received by the local government within 30 days of completion of the audit.	Yes		Natasha Mossman
6	s7.9(1)	Was the Auditor's report for the financial year ended 30 June 2017 received by the local government by 31 December 2017.	Yes		Natasha Mossman
7	S7.12A(3)	Where the local government determined that matters raised in the auditor's report prepared under s7.9 (1) of the Act required action to be taken by the local government, was that action undertaken.	N/A		Natasha Mossman
8	S7.12A (4)	Where the local government determined that matters raised in the auditor's report (prepared under s7.9 (1) of the Act) required action to be taken by the local government, was a report prepared on any actions undertaken.	N/A		Natasha Mossman
9	S7.12A (4)	Where the local government determined that matters raised in the auditor's report (prepared under s7.9 (1) of the Act) required action to be taken by the local government, was a copy of the report forwarded to the Minister by the end of the financial year or 6 months after the last report prepared under s7.9 was received by the local government whichever was the latest in time.	N/A		Natasha Mossman
10	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit.	Yes		Natasha Mossman
11	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit.	Yes		Natasha Mossman
12	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit.	Yes		Natasha Mossman
13	Audit Reg 7	Did the agreement between the local government and its auditor include details of the remuneration and expenses to be paid to the auditor.	Yes		Natasha Mossman
14	Audit Reg 7	Did the agreement between the local government and its auditor include the method to be used by the local government to communicate with, and supply information to, the auditor.	Yes		Natasha Mossman

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<b>Integrated Planning and Reporting</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s5.56 Admin Reg 19DA (6)	Has the local government adopted a Corporate Business Plan. If Yes, please provide adoption date of the most recent Plan in Comments. This question is optional, answer N/A if you choose not to respond.	N/A	The Shire's Corporate Business Plan is active until 2019, and it was reviewed by Council in June 2015. Council is currently reviewing a Draft Corporate Business Plan 2017-2021. It is intended that the Plan be adopted by Council prior to finalising the 2018/19 Annual Budget.	Natasha Mossman
2	s5.56 Admin Reg 19DA (6)	Has the local government adopted a modification to the most recent Corporate Business Plan. If Yes, please provide adoption date in Comments. This question is optional, answer N/A if you choose not to respond.	N/A		Natasha Mossman
3	s5.56 Admin Reg 19C (7)	Has the local government adopted a Strategic Community Plan. If Yes, please provide adoption date of the most recent Plan in Comments. This question is optional, answer N/A if you choose not to respond.	Yes	The Council adopted by an Absolute Majority the Community Strategic Plan 2017-2027 on 21 June 2017 - Resolution 100617	Natasha Mossman
4	s5.56 Admin Reg 19C (7)	Has the local government adopted a modification to the most recent Strategic Community Plan. If Yes, please provide adoption date in Comments. This question is optional, answer N/A if you choose not to respond.	N/A		Natasha Mossman
5	S5.56	Has the local government adopted an Asset Management Plan. If Yes, in Comments please provide date of the most recent Plan, plus if adopted or endorsed by Council the date of adoption or endorsement. This question is optional, answer N/A if you choose not to respond.	N/A	The status of Council's Asset Management Plans is as follows: * Roads: updated October 2017 * Buildings: updated October 2017 * Parks: initial plan completed in February 2016. Council was briefed in full at a Concept Forum on 1 November 2017. Extracts from the three Asset Management Plans were included as Appendices to the Draft Corporate Business Plan (refer 1 above)	Natasha Mossman
6	S5.56	Has the local government adopted a Long Term Financial Plan. If Yes, in Comments please provide date of the most recent Plan, plus if adopted or endorsed by Council the date of adoption or endorsement. This question is optional, answer N/A if you choose not to respond.	N/A	An experienced consultant has been engaged to assist with the development of the Long Term Financial Plan. The Plan will be used as part of the 2018/19 Annual Budget process. Council will be briefed in full as part of that process.	Natasha Mossman

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No	Reference	Question	Response	Comments	Respondent
7	S5.56	Has the local government adopted a Workforce Plan. If Yes, in Comments please provide date of the most recent Plan plus if adopted or endorsed by Council the date of adoption or endorsement. This question is optional, answer N/A if you choose not to respond.	N/A		Natasha Mossman

**Local Government Employees**

No	Reference	Question	Response	Comments	Respondent
1	Admin Reg 18C	Did the local government approve the process to be used for the selection and appointment of the CEO before the position of CEO was advertised.	N/A	The Shire's CEO was appointed by Absolute Majority by Council on 16 March 2016 - Resolution 190316	Natasha Mossman
2	s5.36(4) s5.37(3), Admin Reg 18A	Were all vacancies for the position of CEO and other designated senior employees advertised and did the advertising comply with s.5.36(4), 5.37(3) and Admin Reg 18A.	Yes	Position of Executive Manager Development Services was advertised in The Weekend West on 18 November 2017, also on SEEK and LG Net	Natasha Mossman
3	Admin Reg 18F	Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position of CEO under section 5.36(4).	Yes	The Shire's CEO was appointed by Absolute Majority by Council on 16 March 2016 - Resolution 190316	Natasha Mossman
4	Admin Regs 18E	Did the local government ensure checks were carried out to confirm that the information in an application for employment was true (applicable to CEO only).	Yes	The Shire's CEO was appointed by Absolute Majority by Council on 16 March 2016 - Resolution 190316	Natasha Mossman
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.	Yes		Natasha Mossman

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<b>Official Conduct</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s5.120	Where the CEO is not the complaints officer, has the local government designated a senior employee, as defined under s5.37, to be its complaints officer.	Yes	The Shire's Executive Manager Corporate Services is the Complaints Officer	Natasha Mossman
2	s5.121(1)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that result in action under s5.110(6)(b) or (c).	Yes		Natasha Mossman
3	s5.121(2)(a)	Does the complaints register maintained by the complaints officer include provision for recording of the name of the council member about whom the complaint is made.	Yes		Natasha Mossman
4	s5.121(2)(b)	Does the complaints register maintained by the complaints officer include provision for recording the name of the person who makes the complaint.	Yes		Natasha Mossman
5	s5.121(2)(c)	Does the complaints register maintained by the complaints officer include provision for recording a description of the minor breach that the standards panel finds has occurred.	Yes		Natasha Mossman
6	s5.121(2)(d)	Does the complaints register maintained by the complaints officer include the provision to record details of the action taken under s5.110(6)(b) or (c).	Yes		Natasha Mossman

<b>Tenders for Providing Goods and Services</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s3.57 F&G Reg 11	Did the local government invite tenders on all occasions (before entering into contracts for the supply of goods or services) where the consideration under the contract was, or was expected to be, worth more than the consideration stated in Regulation 11(1) of the Local Government (Functions & General) Regulations (Subject to Functions and General Regulation 11(2)).	N/A	No goods or services exceed the tender threshold. WALGA preferred suppliers arrangements were used for all significant purchases, however none exceeded the tender threshold.	Natasha Mossman
2	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than inviting tenders for a single contract.	N/A		Natasha Mossman
3	F&G Reg 14(1) & (3)	Did the local government invite tenders via Statewide public notice.	N/A		Natasha Mossman
4	F&G Reg 14 & 15	Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16.	N/A		Natasha Mossman



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No	Reference	Question	Response	Comments	Respondent
5	F&G Reg 14(5)	If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer, notice of the variation.	N/A		Natasha Mossman
6	F&G Reg 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of F&G Reg 16.	N/A		Natasha Mossman
7	F&G Reg 18(1)	Did the local government reject the tenders that were not submitted at the place, and within the time specified in the invitation to tender.	N/A		Natasha Mossman
8	F&G Reg 18 (4)	In relation to the tenders that were not rejected, did the local government assess which tender to accept and which tender was most advantageous to the local government to accept, by means of written evaluation criteria.	N/A		Natasha Mossman
9	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of F&G Reg 17.	N/A		Natasha Mossman
10	F&G Reg 19	Was each tenderer sent written notice advising particulars of the successful tender or advising that no tender was accepted.	N/A		Natasha Mossman
11	F&G Reg 21 & 22	Did the local governments's advertising and expression of interest documentation comply with the requirements of F&G Regs 21 and 22.	N/A		Natasha Mossman
12	F&G Reg 23(1)	Did the local government reject the expressions of interest that were not submitted at the place and within the time specified in the notice.	N/A		Natasha Mossman
13	F&G Reg 23(4)	After the local government considered expressions of interest, did the CEO list each person considered capable of satisfactorily supplying goods or services.	N/A		Natasha Mossman
14	F&G Reg 24	Was each person who submitted an expression of interest, given a notice in writing in accordance with Functions & General Regulation 24.	N/A		Natasha Mossman
15	F&G Reg 24AD(2)	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice.	N/A		Natasha Mossman
16	F&G Reg 24AD(4) & 24AE	Did the local government's advertising and panel documentation comply with F&G Regs 24AD(4) & 24AE.	N/A		Natasha Mossman

**Item 6.2**

**Attachment 1**

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



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

No	Reference	Question	Response	Comments	Respondent
17	F&G Reg 24AF	Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of F&G Reg 16 as if the reference in that regulation to a tender were a reference to a panel application.	N/A		Natasha Mossman
18	F&G Reg 24AD(6)	If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application, notice of the variation.	N/A		Natasha Mossman
19	F&G Reg 24AH(1)	Did the local government reject the applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time specified in the invitation for applications.	N/A		Natasha Mossman
20	F&G Reg 24AH(3)	In relation to the applications that were not rejected, did the local government assess which application (s) to accept and which application(s) were most advantageous to the local government to accept, by means of written evaluation criteria.	N/A		Natasha Mossman
21	F&G Reg 24AG	Did the information recorded in the local government's tender register about panels of pre-qualified suppliers, comply with the requirements of F&G Reg 24AG.	N/A		Natasha Mossman
22	F&G Reg 24AI	Did the local government send each person who submitted an application, written notice advising if the person's application was accepted and they are to be part of a panel of pre-qualified suppliers, or, that the application was not accepted.	N/A		Natasha Mossman
23	F&G Reg 24E	Where the local government gave a regional price preference in relation to a tender process, did the local government comply with the requirements of F&G Reg 24E in relation to the preparation of a regional price preference policy (only if a policy had not been previously adopted by Council).	N/A		Natasha Mossman
24	F&G Reg 24F	Did the local government comply with the requirements of F&G Reg 24F in relation to an adopted regional price preference policy.	Yes		Natasha Mossman
25	F&G Reg 11A	Does the local government have a current purchasing policy in relation to contracts for other persons to supply goods or services where the consideration under the contract is, or is expected to be, \$150,000 or less.	Yes		Natasha Mossman

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Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of  
Local Government, Sport  
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I certify this Compliance Audit return has been adopted by Council at its meeting on \_\_\_\_\_

\_\_\_\_\_  
Signed Mayor / President, Chittering

\_\_\_\_\_  
Signed CEO, Chittering



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