

MINUTES FOR THE AUDIT COMMITTEE MEETING

WEDNESDAY 20 MARCH 2019

Council Chambers
6177 Great Northern Highway
Bindoon

Commencement: 5.30PM

Closure: 5.33PM



PREFACE

When the Chief Executive Officer approves these minutes for distribution they are in essence "Unconfirmed" until the following Chittering Audit Committee meeting, where the minutes will be confirmed subject to any amendments.

The "Confirmed" minutes are then signed off by the Chairperson.

Attachments that formed part of the agenda, in addition to those tabled at the Chittering Audit Committee meeting are put together as an addendum to these Minutes.

UNCONFIRMED MINUTES

These Audit Committee minutes were approved for distribution on Friday 29 March 2019



Neil Hartley
Acting Chief Executive Officer
Shire of Chittering

CONFIRMED MINUTES

These Audit Committee minutes were confirmed at the Chittering Audit Committee meeting held

on _____

Signed _____

NOTE: the Chairperson at the meeting at which these minutes are confirmed is the person who signs above.

OBJECTIVES

The primary objective of the Chittering 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.

Functions of an Audit Committee

As per the *Local Government (Audit) Regulations 1996 Section 16*, an audit committee has the following functions —

- (a) to guide and assist the local government in carrying out —
 - (i) its functions under Part 6 of the Act; and
 - (ii) its functions relating to other audits and other matters related to financial management;
- (b) to guide and assist the local government in carrying out the local government's functions in relation to audits conducted under Part 7 of the Act;
- (c) to review a report given to it by the CEO under regulation 17(3) (the CEO's report) and is to —
 - (i) report to the council the results of that review; and
 - (ii) give a copy of the CEO's report to the council;
- (d) to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under —
 - (i) regulation 17(1); and
 - (ii) the Local Government (Financial Management) Regulations 1996 regulation 5(2)(c);
- (e) to support the auditor of the local government to conduct an audit and carry out the auditor's other duties under the Act in respect of the local government;
- (f) to oversee the implementation of any action that the local government —
 - (i) is required to take by section 7.12A(3); and
 - (ii) has stated it has taken or intends to take in a report prepared under section 7.12A(4)(a); and
 - (iii) has accepted should be taken following receipt of a report of a review conducted under regulation 17(1); and
 - (iv) has accepted should be taken following receipt of a report of a review conducted under the Local Government (Financial Management) Regulations 1996 regulation 5(2)(c);
- (g) to perform any other function conferred on the audit committee by these regulations or another written law.

[Regulation 16 inserted: Gazette 26 Jun 2018 p. 2386-7.]

Delegated Authority

Nil

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* indicates attachments

1. DECLARATION OF OPENING OF MEETING / ANNOUNCEMENTS OF VISITORS

The Chairperson declared the meeting open at 5.30PM.

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

2.1 Attendance

The following members were in attendance:

Members: Cr Gordon Houston President (Chairperson)
Cr Peter Osborn
Cr Aaron King
Cr Carmel Ross
Cr Mary Angus
Cr Don Gibson

Quorum – 6 members

Observers: Neil Hartley Acting Chief Executive Officer
Rhona Hawkins Executive Manager Corporate Services
Jim Garret Executive Manager Technical Services
Peter Stuart Executive Manager Development Services
Natasha Mossman Executive Support Officer (Minute Secretary)

2.2 Apologies

Cr George Tilbury

2.3 Approved leave of absence

Nil

3. DISCLOSURE OF INTEREST

Nil

4. PUBLIC QUESTION TIME

4.1 Public question time

Nil

5. CONFIRMATION OF MINUTES: Tuesday 29 January 2019

5.1 OFFICER RECOMMENDATION

Moved Cr King / Seconded Cr Angus

That the minutes of the Audit Committee meeting held on Tuesday 29 January 2019 be confirmed as a true and correct record of proceedings.

THE RECOMMENDATION WAS PUT AND DECLARED CARRIED 6/0

5:32PM

6. PURPOSE OF MEETING

6.1 Local Government Compliance Audit Return for 2018*

Applicant	Shire of Chittering
File ref	04/02/0002
Prepared by	Acting Executive Support Officer
Supervised by	Executive Manager Corporate Services
Voting requirements	Simple Majority
Attachments	1. Compliance Audit Return for 2018

Executive Summary

The Audit Committee is requested to review the Compliance Audit Return for 2018 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 included as **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 2018 calendar year has been completed by the Executive Manager Corporate Services.

The CAR for 2018 continues in the reduced format introduced in 2011, with the areas of compliance restricted to those considered high risk.

The areas of compliance for 2018 are as follows:

Commercial Enterprise by Local Governments

No noted areas on non-compliance.

Delegation of Power/Duty

There is one area of non-compliance:

- (i) No 12: Were all delegations made under Division 4 of Part 5 of the Act reviewed by the Delegator at least once during the 2017/2018 financial year.

The Shire's Delegated Authority Register was tabled at the Ordinary Council Meeting held on 20 June 2018, where Council resolved the following:

9.4.5 SUBSTANTIVE MOTION / COUNCIL RESOLUTION 160618

Refers the Delegated Authority Register to the next Audit Committee meeting for review.

*THE SUBSTANTIVE MOTION WAS PUT AND DECLARED CARRIED 7/0
CRS HOUSTON, OSBORN, KING, TILBURY, ROSS, ANGUS AND GIBSON VOTED IN FAVOUR*

9:19PM

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 20 March 2019.

6.1 OFFICER/COMMITTEE RECOMMENDATION

Moved Cr King / Seconded Cr Ross

That the Audit Committee reviews the Local Government Compliance Audit Return for the period 1 January 2018 to 31 December 2018 and presents to Council for adoption at the Ordinary Meeting of Council on 20 March 2019.

THE RECOMMENDATION WAS PUT AND DECLARED CARRIED 6/0

5:33PM

7. CLOSURE

The Chairperson declared the meeting closed at 5:33PM.

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 2018

Certified Copy of Return

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

Commercial Enterprises by Local Governments					
No	Reference	Question	Response	Comments	Respondent
1	s3.59(2)(a)(b)(c) F&G Reg 7,9	Has the local government prepared a business plan for each major trading undertaking in 2018.	N/A		Rhona Hawkins
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 2018.	N/A		Rhona Hawkins
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 2018.	N/A		Rhona Hawkins
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 2018.	N/A		Rhona Hawkins
5	s3.59(5)	Did the Council, during 2018, resolve to proceed with each major land transaction or trading undertaking by absolute majority.	N/A		Rhona Hawkins



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



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

Delegation of Power / Duty					
No	Reference	Question	Response	Comments	Respondent
1	s5.16, 5.17, 5.18	Were all delegations to committees resolved by absolute majority.	N/A	There are no delegations assigned to the committees	Natasha Mossman
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing.	N/A	There are no delegations assigned to the 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 assigned to the 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 assigned to the committees	Natasha Mossman
5	s5.18	Has Council reviewed delegations to its committees in the 2017/2018 financial year.	No		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		Rhona Hawkins
7	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO resolved by an absolute majority.	Yes		Rhona Hawkins
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing.	Yes		Rhona Hawkins
9	s5.44(2)	Were all delegations by the CEO to any employee in writing.	Yes		Rhona Hawkins
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority.	Yes		Rhona Hawkins
11	s5.46(1)	Has the CEO kept a register of all delegations made under the Act to him and to other employees.	Yes		Rhona Hawkins
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 2017/2018 financial year.	No		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		Rhona Hawkins

Disclosure of Interest					
No	Reference	Question	Response	Comments	Respondent
1	s5.67	If a member disclosed an interest, did he/she ensure that they did not remain present to participate in any discussion or decision-making procedure relating to the matter in which the interest was disclosed (not including participation approvals granted under s5.68).	Yes		Rhona Hawkins

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
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		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
6	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2018.	Yes		Rhona Hawkins
7	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2018.	Yes		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins



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

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)).	Yes	Lot 121 Great Northern Highway public notice published in the Ellenbrook Advocate on 18 July 2018	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.	Yes	Lot 121 Great Northern Highway details provided as prescribed by s5.48 (4)	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		Rhona Hawkins
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 powers of delegation	Natasha Mossman
3	s7.3	Was the person(s) appointed by the local government to be its auditor, a registered company auditor.	Yes		Rhona Hawkins
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	Auditors were appointed by Council on 17 August 2016 by ABSOLUTE MAJORITY. Term expires 30 June 2019.	Natasha Mossman
5	Audit Reg 10	Was the Auditor's report for the financial year ended 30 June 2018 received by the local government within 30 days of completion of the audit.	Yes		Rhona Hawkins

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



**Department of
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and Cultural Industries**

No	Reference	Question	Response	Comments	Respondent
6	s7.9(1)	Was the Auditor's report for the financial year ended 30 June 2018 received by the local government by 31 December 2018.	Yes		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
10	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit.	Yes		Rhona Hawkins
11	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit.	Yes		Rhona Hawkins
12	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit.	Yes		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
15	Audit Reg 17	Has the CEO reviewed the appropriateness and effectiveness of the local government's systems and procedures in accordance with regulation 17 of the Local Government (Audit) Regulations 1996.	No		Natasha Mossman
16	Audit Reg 17	If the CEO has not undertaken a review in accordance with regulation 17 of the Local Government (Audit) Regulations 1996, is a review proposed and when.	Yes	The review is next scheduled for December 2019.	Natasha Mossman

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



**Department of
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Integrated Planning and Reporting					
No	Reference	Question	Response	Comments	Respondent
1	s5.56 Admin Reg 19DA (6)	Has the local government adopted a Corporate Business Plan. If Yes, please provide adoption date of the most recent Plan in Comments. This question is optional, answer N/A if you choose not to respond.	Yes	Adopted on 17 October 2018	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		Rhona Hawkins
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.	N/A	The Shire's Strategic Community Plan was adopted in June 2017.	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		Rhona Hawkins
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 Shire's Asset Management Plan was adopted in October 2017.	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.	Yes	The Shire's Long Term Financial Plan 2018/19 - 2027/28 was reviewed and adopted by Council on 12 December 2018.	Natasha Mossman
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	The Shire's Workforce Plan 2013-2023 was adopted May 2013, with the last review undertaken in June 2015.	Natasha Mossman



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



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

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.	Yes	Council resolved the recruitment of the CEO on 17 October 2018. The position was advertised on 16 November 2018.	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	The position of the CEO was advertised on 16 November 2018.	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).	N/A	Council had not resolved the appointment of CEO by 31 December 2018	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).	N/A	Council had not resolved the appointment of the CEO by 31 December 2018	Natasha Mossman
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.	N/A	There were no designated senior employees dismissed or employed during this period.	Natasha Mossman



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



**Department of
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and Cultural Industries**

Official Conduct					
No	Reference	Question	Response	Comments	Respondent
1	s5.120	Where the CEO is not the complaints officer, has the local government designated a senior employee, as defined under s5.37, to be its complaints officer.	Yes	The Executive Manager Corporate Services is the Shire's designated complaints officer defined under s5.37	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		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins

Tenders for Providing Goods and Services					
No	Reference	Question	Response	Comments	Respondent
1	s3.57 F&G Reg 11	Did the local government invite tenders on all occasions (before entering into contracts for the supply of goods or services) where the consideration under the contract was, or was expected to be, worth more than the consideration stated in Regulation 11(1) of the Local Government (Functions & General) Regulations (Subject to Functions and General Regulation 11(2)).	No	WALGA Equotes used	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.	Yes		Rhona Hawkins
3	F&G Reg 14(1) & (3)	Did the local government invite tenders via Statewide public notice.	No	WALGA Equotes used	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

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
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		Rhona Hawkins
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		Rhona Hawkins
8	F&G Reg 18 (4)	In relation to the tenders that were not rejected, did the local government assess which tender to accept and which tender was most advantageous to the local government to accept, by means of written evaluation criteria.	Yes	WALGA Equotes used	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.	Yes	WALGA Equotes used	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		Rhona Hawkins
13	F&G Reg 23(4)	After the local government considered expressions of interest, did the CEO list each person considered capable of satisfactorily supplying goods or services.	Yes	WALGA Equotes used	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.	Yes	WALGA Equotes used	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.	No		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		Rhona Hawkins



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



**Department of
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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		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
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		Rhona Hawkins
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).	No	There were no regional suppliers to give regional price preference	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		Rhona Hawkins
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	Finance Policy 2.12 Purchasing	Natasha Mossman

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



Department of
Local Government, Sport
and Cultural Industries

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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