

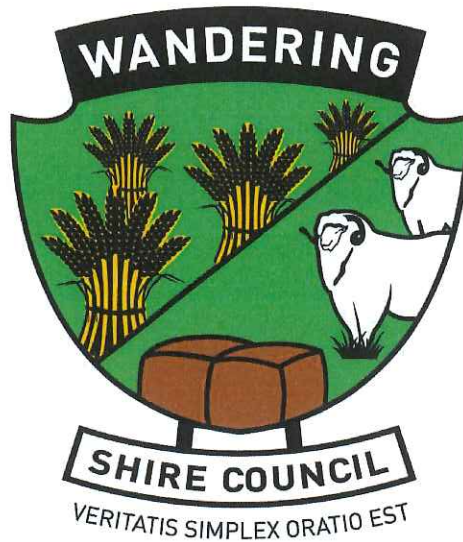


# Shire of Wandering

## AGENDA

For the Audit Committee Meeting  
to be held 16 March 2017





## **Shire of Wandering**

### **Audit Committee Meeting 16 March 2017**

#### **NOTICE OF MEETING**

Dear Elected Member

The Audit Committee Meeting of the Shire of Wandering will be held on Thursday 16 March 2017 in the Council Chambers, 22 Watts Street, Wandering commencing at 1.00pm.

Amanda O'Halloran  
Chief Executive Officer  
8 March 2017

# Agenda

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# Audit Committee Meeting

## Agenda

**1. DECLARATION OF OPENING**

**2. RECORD OF ATTENDANCE**

**2.1 Present:**

Cr B Whitely	President
Cr B Dowsett	Deputy President
Cr W Gowland	
Cr J Price	
Cr C Ferguson	
Cr M Watts	

**Staff:**

Ms A O'Halloran	Chief Executive Officer
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**2.2 Apologies**

**2.3 Approved Leave of Absence**

Cr G Parsons

**3. ANNOUNCEMENT OF VISITORS**

Nil

**4. DECLARATION BY MEMBERS**

That Councillors have given due consideration to all matters contained in the Agenda presently before the meeting

**5. CONFIRMATION OF MINUTES OF PREVIOUS MEETINGS**

**ATTACHMENT 5.1**

## **6. TERMS OF REFERENCE**

Under the Local Government Act 1995 (LGA), Local Governments are required to appoint an Audit Committee (section 7.1A of the Local Government Act 1995).

An Audit Committee is to provide guidance and assistance to the Local Government - as to the carrying out of its functions in relation to audits conducted under Part 7 of the LGA and as to the development of a process to be used to select and appoint a person to be an auditor and may provide guidance and assistance to the Local Government as to – matters to be audited, the scope of audits, its functions under part 6 of the Act and the carrying out of its functions relating to other audits and other matters related to financial management (clause 16 Local Government (Audit) regulations 1996).

Meeting cycle: At least once a year to recommend adoption of the Annual Financial Statements and Report.

## 7. AGENDA ITEMS

### 7.1 LOCAL GOVERNMENT COMPLIANCE AUDIT RETURN 2016

**FILE REFERENCE:** 1.1.26

**PROPOSERS:** Nil

**DISCLOSURE OF INTEREST:** Nil

**DATE:** 8 February 2017

**PREVIOUSLY BEFORE COUNCIL:** Nil

**AUTHORS NAME & POSITION:** Amanda O'Halloran  
Chief Executive Officer

#### NATURE OF COUNCIL'S ROLE IN THE MATTER:

- Advocacy When Council advocates on its own behalf or on behalf of its community to another level of government/body/agency.
- Executive The substantial direction setting and oversight role of the Council e.g. adopting plans and reports, accepting tenders, directing operations, setting and amending budgets.
- Legislative Includes adopting local laws, local planning schemes and policies.
- Review When Council reviews decisions made by Officers.
- Quasi-judicial When Council determines an application/matter that directly affects a person's rights and interests. The judicial character arises from the obligation to abide by the principles of natural justice e.g. local planning applications, building permits, other permits/licences (e.g. under Health Act, Dog Act or local laws) and other decisions that may be appealable to the State Administrative Tribunal (SAT).

#### PURPOSE OF THE REPORT

It is a requirement that each local Government is to carry out a Compliance Audit Return annually. The Compliance Audit Return for the 2016 year is presented for Council's endorsement.

#### BACKGROUND

The 2016 Local Government Compliance Audit Return for the period 1 January 2016 to the 31 December 2016 is attached.

## AGENDA FOR THE AUDIT COMMITTEE MEETING TO BE HELD 16 MARCH 2017

The Compliance Audit Return is to assist Council in monitoring its organisational functions. Council is required to note any area of non-compliance and endorse remedial action.

The Audit is a standard document provided by the Department of Local Government and is the same audit that every local government is required to complete. The Department considers from a large range of issues it can audit, which ones will be specific to the year in question (i.e. each year the audit questions can change).

This year there were eighty seven (87) questions over nine (9) different governance areas.

### **COMMENT**

This year's Audit covered some governance areas that the Council did not undertake any activity in, therefore was not applicable for the 2016 calendar year.

These areas included:

- Commercial Enterprises by Local Government
- Elections
- Local Government Employees

There were no areas of noncompliance. The full audit is attached for Councillors consideration.

## **ATTACHMENT 7.1.1 COMPLIANCE AUDIT REPORT**

### **CONSULTATION**

Nil

### **STATUTORY ENVIRONMENT**

Regulation 14 of the Local Government (Audit) Regulations 1996 provides:

1. A local government is to carry out a compliance audit for the period 1 January to 31 December in each year.
2. After carrying out a compliance audit the local government is to prepare a compliance audit return in a form approved by the Minister.
- 3(A) The local government's audit committee is to review the compliance audit return and is to report to the council the results of that review.
3. After the audit committee has reported to the council under subregulation (3A), the compliance audit return is to be —
  - a. presented to the council at a meeting of the council; and
  - b. adopted by the council; and
  - c. recorded in the minutes of the meeting at which it is adopted.

Regulation 15 provides that:

1. After the compliance audit return has been presented to the council in accordance with regulation 14(3) a certified copy of the return together with —
  - a. a copy of the relevant section of the minutes referred to in regulation 14(3)(c); and
  - b. any additional information explaining or qualifying the compliance audit,
  - c. is to be submitted to the Executive Director by 31 March next following the period to which the return relates.



## AGENDA FOR THE AUDIT COMMITTEE MEETING TO BE HELD 16 MARCH 2017

2. In this regulation —  
**certified** in relation to a compliance audit return means signed by —
- a. the mayor or president; and
  - b. the CEO

### POLICY IMPLICATIONS

Nil

### FINANCIAL IMPLICATIONS

Operational resources required to achieve compliance are mostly provided for in the 2015/2016 Budget.

### STRATEGIC IMPLICATIONS

#### Community Strategic Plan 2013-2023

#### Goal 5 – A strong and Effective Organisation

Outcome 5.2: Accountable decision making and resource allocation through effective governance.

**Strategy 5.2.1:** Ensure Council's decision making process is effective and transparent.

**Strategy 5.2.2:** Ensure the organisation's governance structure, policies and procedures are current and relevant.

### VOTING REQUIREMENTS

Absolute Majority

### OFFICER RECOMMENDATION

That the Audit Committee recommends Council adopt the Compliance Audit Return 2016, included as **ATTACHMENT 7.1.1** of this agenda and minutes.

### 8. NEXT MEETING

The next Audit and Risk Committee Meeting will be held at a time to be determined.

### 9. CLOSURE OF MEETING





## **Shire of Wandering**

### **Audit Committee Meeting 29 September 2016**

**Minutes  
4.30 pm**

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# Audit Committee Meeting

## Agenda

### 1. DECLARATION OF OPENING

The Shire President, Cr B Whitely declared the meeting open at 4.03pm

### 2. RECORD OF ATTENDANCE

#### 2.1 PRESENT

Cr B Dowsett  
Cr J Price  
Cr M Watts  
Cr C Ferguson  
Cr G Parsons

Deputy President

#### Staff:

Ms A O'Halloran  
Mr D Ojha

Chief Executive Officer  
Manager Administration & Finance

#### 2.2 Apologies

Cr C Ferguson  
Cr B Whitely  
Cr W Gowland

#### 2.3 Leave of Absence

Nil

### 3. ANNOUNCEMENT OF VISITORS

Mr Marius Van Der Merwe, Audit Director, Butler Settineri will be presenting and available for questions

### 4. DECLARATION BY MEMBERS

That Councillors have given due consideration to all matters contained in the Agenda presently before the meeting

**5. CONFIRMATION OF MINUTES OF PREVIOUS MEETINGS**  
Minute of the Audit Committee Meeting – 17 December 2015

**COUNCIL DECISION – ITEM 5**

**MOVED:** Cr J Price

**SECONDED:** Cr M Watts

**CARRIED 4/0**

**6. TERMS OF REFERENCE**

Under the Local Government Act 1995 (LGA), Local Governments are required to appoint an Audit Committee (section 7.1A of the Local Government Act 1995).

An Audit Committee is to provide guidance and assistance to the Local Government - as to the carrying out of its functions in relation to audits conducted under Part 7 of the LGA and as to the development of a process to be used to select and appoint a person to be an auditor and may provide guidance and assistance to the Local Government as to – matters to be audited, the scope of audits, its functions under part 6 of the Act and the carrying out of its functions relating to other audits and other matters related to financial management (clause 16 Local Government (Audit) regulations 1996).

**7. Meeting cycle: At least once a year to recommend adoption of the Annual Financial Statement**

4.31pm Cr W Gowland entered the Meeting

4.43pm Cr B Whitely entered the Meeting

**7.1 REVIEW OF 2015/16 INDEPENDENT AUDIT REPORT AND ANNUAL FINANCIAL STATEMENTS**

<b>File Reference:</b>	10.1.6
<b>Applicant:</b>	N/A
<b>Disclosure of Interest:</b>	Nil
<b>Date:</b>	22 September 2016
<b>Previous Meeting Reference:</b>	N/A
<b>Author Name and Position:</b>	Durga Ojha Manager Administration and Finance

**Summary**

The Auditor's Report and Audited Financial Statements of the Shire of Wandering for the financial year ended 30 June 2016 have been received by the shire on the 23<sup>rd</sup> of September 2016.

After receiving the auditor reports, the audit committee is to examine the report of the auditor and determine if any matters raised by the report require action to be taken and ensure appropriate action is taken in future.

**Background**

The Shire's Auditors Butler Settineri have audited the 2015/16 Annual Financial Statements and have provided an Independent Auditor's Report as required under the relevant provisions of the *Local Government Act 1995* (LGA). The Auditor's Report and Annual Financial Statements are now presented to the audit committee for their information.

ATTACHMENT 7.1.1

**Comment**

The Shire of Wandering's Audit Report as presented was unqualified, meaning there were no matters of significance raised by the Auditor and the Shire, substantially complied with Part 6 of the *Local Government Act 1995* (as amended) and the *Local Government (Financial Management) Regulations 1996* (as amended).

The independent Audit Report highlighted the two unfavourable financial ratios and offers the following comments regarding the Shire's financial position;

<b>Audit Report</b>	<b>Officer Response</b>
<p><b><u>Current Ratio 0.9 :</u></b> Current ratios do not meet the Department of Local Government Indicative Benchmark <math>&gt;=1</math></p>	<p>Current ratios measure the short term liquidity to meet the Shire liabilities when they fall due. Council's management are well aware that the current ratios do not meet the Department of Local Government indicative benchmark, however Council has budgeted to sell the 7 Gnowing St house for \$200,000, to maintain the liquidity in this financial year and this is expected to improve the current ratios.</p>
<p><b><u>Operating Surplus ratios -46%:</u></b> Operating Surplus ratios do not meet the Department of Local Government Indicative Benchmark.</p>	<p>Operating surplus ratios measure a local government's ability to cover its operational costs and have revenues available for capital funding or other purposes. The Department of Local Government benchmark is between 1% and 15%. If the 7 Gnowing St house was sold by the Council for \$200,000 in FY 2015/16, the ratios would be improved. Similarly, the Council's Senior Management will be working to meet the above Department of Local Government Benchmark by selling the Gnowing St house and sourcing the additional income activities.</p>

Despite the above Auditor's comments, Council's management and internal control systems are sound. In addition to being monitored internally on a daily and monthly basis, they are also strengthened by an independent assessment each year on the Shire's financial management systems and external audit reporting. The independent assessment reviews Council's financial position, financial management practices and compliance with the requirements of the *Local Government Act*, the *Local Government (Financial Management) Regulations*, and *Accounting Standards*.

**Consultation**

Chief Executive Officer

**Statutory Environment.**

Local Government Act 1995 Section 7.12(A).

Local Government Audit Regulations 1996 Regulation 16

Local Government Financial Management Regulations 1996

**Policy Implications**

Nil

**Financial Implications**

Implementing the recommendations of the Report will have a financial impact that will be processed through normal budgetary processes.

**Strategic Implications**

**Community Strategic Plan 2013-2023**

**Goal 5 – A strong and Effective Organisation**

Outcome 5.2: Accountable decision making and resource allocation through effective governance.

**Strategy 5.2.1:** Ensure Council's decision making process is effective and transparent

**Strategy 5.2.2:** Ensure the organisation's governance structure, policies and procedures are current and relevant

**Voting Requirements**

Simple Majority

**Officer Recommendation**

That the Audit Committee recommends Council accept the 2015/16 Shire of Wandering Annual Financial Reports including the Independent Audit Reports.

**COUNCIL DECISION – ITEM 7.1**

**MOVED: Cr M Watts**

**SECONDED: Cr B Whitely**

**That Audit committee of the Council**

That the Audit Committee recommends Council accept the 2015/16 Shire of Wandering Annual Financial Reports including the Independent Audit Reports.

**CARRIED 6/0**

Deputy President thanked Mr Marius Van Der Merwe, Audit Director for his time and information provided.

**8. NEXT MEETING**

The next Audit and Risk Committee Meeting will be held at a time to be determined.



**9. CLOSURE OF MEETING**

The Shire President declared the meeting closed at 5.42pm

<p><b>These Minutes were confirmed at the Audit and Risk Committee Meeting on .</b></p>
<p><b>Signed:</b> .....</p>
<p><b>Presiding Person at the meeting at which the minutes were confirmed</b></p>
<p><b>Date:</b> .....</p>

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## Wandering - Compliance Audit Return 2016

### Certified Copy of Return

Please submit a signed copy to the Director General of the Department of Local Government and Communities 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 2016.	N/A		Amanda O'Halloran
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 2016.	N/A		Amanda O'Halloran
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 2016.	N/A		Amanda O'Halloran
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 2016.	N/A		Amanda O'Halloran
5	s3.59(5)	Did the Council, during 2016, resolve to proceed with each major land transaction or trading undertaking by absolute majority.	N/A		Amanda O'Halloran



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.	Yes		Amanda O'Halloran
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing.	Yes		Amanda O'Halloran
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17.	Yes		Amanda O'Halloran
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations.	Yes		Amanda O'Halloran
5	s5.18	Has Council reviewed delegations to its committees in the 2015/2016 financial year.	Yes		Amanda O'Halloran
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		Amanda O'Halloran
7	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO resolved by an absolute majority.	Yes		Amanda O'Halloran
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing.	Yes		Amanda O'Halloran
9	s5.44(2)	Were all delegations by the CEO to any employee in writing.	Yes		Amanda O'Halloran
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority.	Yes		Amanda O'Halloran
11	s5.46(1)	Has the CEO kept a register of all delegations made under the Act to him and to other employees.	Yes		Amanda O'Halloran
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 2015/2016 financial year.	Yes		Amanda O'Halloran
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		Amanda O'Halloran

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		Amanda O'Halloran
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		Amanda O'Halloran



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		Amanda O'Halloran
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		Amanda O'Halloran
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.	N/A		Amanda O'Halloran
6	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2016.	Yes		Amanda O'Halloran
7	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2016.	No	One staff member was on long service leave at this time and the return was lodged immediately on their return to work.	Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran



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

### 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		Amanda O'Halloran
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		Amanda O'Halloran

### 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.	N/A		Amanda O'Halloran

### 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		Amanda O'Halloran
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		Amanda O'Halloran
3	s7.3	Was the person(s) appointed by the local government to be its auditor, a registered company auditor.	Yes		Amanda O'Halloran
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		Amanda O'Halloran



No	Reference	Question	Response	Comments	Respondent
5	Audit Reg 10	Was the Auditor's report for the financial year ended 30 June 2016 received by the local government within 30 days of completion of the audit.	Yes		Amanda O'Halloran
6	s7.9(1)	Was the Auditor's report for the financial year ended 30 June 2016 received by the local government by 31 December 2016.	Yes		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
10	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit.	Yes		Amanda O'Halloran
11	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit.	Yes		Amanda O'Halloran
12	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit.	Yes		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran



<b>Local Government Employees</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
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		Amanda O'Halloran
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.	N/A		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.	N/A		Amanda O'Halloran
<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.	N/A	The CEO is the complaints Officer	Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran





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)).	Yes	WALGA E quote was utilised	Amanda O'Halloran
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		Amanda O'Halloran
3	F&G Reg 14(1) & (3)	Did the local government invite tenders via Statewide public notice.	N/A	WALGA E Quote was utilised	Amanda O'Halloran
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	WALGA E Quote was utilised	Amanda O'Halloran
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	WALGA E Quote was utilised	Amanda O'Halloran
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	WALGA E Quote was utilised	Amanda O'Halloran
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	WALGA E Quote was utilised	Amanda O'Halloran
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	WALGA E Quote was utilised	Amanda O'Halloran
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.	Yes		Amanda O'Halloran
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	WALGA E Quote was utilised	Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran



No	Reference	Question	Response	Comments	Respondent
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		Amanda O'Halloran
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		Amanda O'Halloran
15	F&G Reg 24AD(2)	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice.	No		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran
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		Amanda O'Halloran



No	Reference	Question	Response	Comments	Respondent
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		Amanda O'Halloran
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.	N/A		Amanda O'Halloran
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		Amanda O'Halloran

I certify this Compliance Audit return has been adopted by Council at its meeting on \_\_\_\_\_

\_\_\_\_\_  
Signed Mayor / President, Wandering

\_\_\_\_\_  
Signed CEO, Wandering

