



Norseman Woodlands to Eucla Coast

23rd March 2023
Audit Committee

Papers Relating

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Shire of Dundas 2022 Compliance Audit Return – Summary of Matters Noted

Question No.	Section/Topic	Matters Identified / Improvements	Reportable in CAR (Y/N)
1 to 10	Disclosure of Interests	Four annual returns were not available for our review within the register of financial interests. It is unclear whether the relevant persons noted are still required to complete primary and annual returns.	Y
		An impartiality interest declared at the OCM held 16/08/2022 (item 10.2.3) did not note a record of any decision for the elected member who declared an interest to not participate in the discussion or vote, however the vote recorded in the minutes does show one elected member did not vote in that particular matter. The minutes did not record the elected member leaving or re-entering the meeting and also did not record the extent of the interest being declared.	Y
		The register of financial interests appears to be currently maintained through the Shire’s EDRMS, and not as required by s5.88(1) & (2)(b) of the <i>Local Government Act 1995</i> , and in the form prescribed in the <i>Local Government (Administration) Regulations 1996 Reg 28</i>	Y
		Acknowledgements of annual and primary returns during the reporting period were not available for our review within the current register of financial interests.	Y
		<p>Improvements:</p> <p>Review systems and procedures relating to the register of financial interests to ensure:</p> <ul style="list-style-type: none"> • Records, including the register of financial interest, are maintained in accordance with legislation; • Returns are appropriately completed by those who are required to do so; • Primary and annual returns are properly completed at the time of providing acknowledgement of receipt of the returns; • Returns are filed correctly (including current/non-current returns); and • Ensure the receipt of returns are acknowledged as required by legislation. 	
		<p>If a relevant person fails to lodge their primary or annual return on time, the matter will need to be referred to the CCC under Part 5, Division 6 of the Act in accordance with section 28 of the <i>Corruption and Crime Commission Act 2003</i>. Advice on the Department’s website also articulates / acknowledges circumstances where relevant persons do not complete their returns within the period. This may occur in circumstances such as extended medical leave, long service leave or maternity leave. It also highlights that in the event of failure to comply nevertheless the relevant return should be completed as soon as possible and a note included in the register detailing reasons for late lodgement. Reports of non-compliance to relevant regulatory authorities should also</p>	

Question No.	Section/Topic	Matters Identified / Improvements	Reportable in CAR (Y/N)
		include the reasons for late lodgement. This will assist in determining if any other action is needed. Ensure future systems and procedures are in place to obtain all returns required under the <i>Local Government Act 1995</i> . Undertake necessary actions to rectify and report this matter as required.	
11	Disclosure of Interests (Gifts)	We noted the register of gifts contains record of disclosures made under the former provision of the <i>Local Government Act 1995</i> (sections 5.82 & 5.83). The current register of gifts is maintained in the prescribed form as required and is currently published on the Shire's website as required.	Y
		<p>Improvement:</p> <p>Maintain the register of gifts as required by legislation and publish on the official local government website. Any entries recorded on the former register is required to be maintained in the previous 'Form 4'.</p>	
23 & 25	Disclosure of Interests (Code of Conduct)	The Code of Conduct for Council members, committee members, and candidates was not adopted by 3 May 2021 as required by regulations. The register was published on the official local government website as required by legislation.	Y
		Regulations gazetted on the 3 February 2021 introduced minimum requirements for an employee code of conduct and introduced a model Code of Conduct for Council members. An updated code of conduct for employees had not yet been prepared at 31 December 2022.	Y
		<p>Improvements:</p> <p>Publish the Code of Conduct for Council members, committee members, and candidates adopted by Council on its special meeting held 30 July 2021 on the official local government website as required by section 104 of the <i>Local Government Act 1995</i>.</p>	
		Prepare a new Code of Conduct for employees in accordance with s5.51A of the <i>Local Government Act 1995</i> and Part 4A Division 2 of the <i>Local Government (Administration) Regulations 1996</i> and publish it on the official local government website.	
3	Elections	The electoral gift register was not published on the local government website as required by legislation.	Y
		<p>Improvement:</p>	

Question No.	Section/Topic	Matters Identified / Improvements	Reportable in CAR (Y/N)
		Ensure the electoral gift register is published on the local government website in accordance with regulation 30G of the <i>Local Government (Elections) Regulations 1997</i> .	
1	Finance	<p>The Audit Committee was last appointed at the Ordinary Meeting of Council held 25 June 2020. The Audit Committee has not been reviewed / appointed since the 2021 ordinary local government elections.</p> <p>Improvement:</p> <p>Council to appoint the Audit Committee by absolute majority of Council as required by s7.1A of the <i>Local Government Act 1995</i>.</p>	Y

Question No.	Section/Topic	Matters Identified / Improvements	Reportable in CAR (Y/N)
7 to 9	Finance	<p>A significant adverse trend and audit matter were identified during the 2020-21 audit and noted in the auditors report. A report has not been:</p> <ul style="list-style-type: none"> • prepared stating actions intended to be taken; • considered by the audit committee and Council; • submitted to the Minister; or • published on the official local government website. <p>as required by legislation.</p> <p>Improvement:</p> <p>Prepare reporting for consideration by the Audit Committee and Council, forward to the Minister after adoption, and publish the report on the Shire's website. Ensure any future reports are prepared and published as required by section 7.12A of the <i>Local Government Act 1995</i>.</p>	Y
1-3	Integrated Planning and Reporting	<p>The Corporate Business Plan 2018-22 was last reviewed in 2018. Legislation requires the Corporate Business Plan to be reviewed annually.</p> <p>Improvement:</p> <p>Ensure the Corporate Business Plan is reviewed annually prior to the adoption of the annual budget, in accordance with the requirements of section 6.2(2) of the <i>Local Government Act 1995</i> and <i>Local Government (Administration) Regulations 1996 19DA (4)</i>.</p>	N
1	Local Government Employees	<p>Manager Works vacancy was not advertised in accordance with <i>Local Government (Administration) Regulations 1996</i>, regulation 18A.</p> <p>Improvement:</p> <p>Update and maintain systems and processes to ensure future senior employee vacancies are advertised in accordance with <i>Local Government (Administration) Regulations 1996</i>, regulation 18A.</p>	Y
4	Local Government Employees	<p>Council did not formally accept a recommendation by the CEO for the appointment of the Works Manager as required by s5.37(2) of the <i>Local Government Act 1995</i>.</p>	Y

Question No.	Section/Topic	Matters Identified / Improvements	Reportable in CAR (Y/N)
		<p>Improvement:</p> <p>Ensure future appointments of designated senior employees are considered by Council as required by legislation.</p>	

Question No.	Section/Topic	Matters Identified / Improvements	Reportable in CAR (Y/N)
1-2	Optional Questions	<p>A review of the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with Financial Management Reg 5(2)(c) was last undertaken in August 2019. These reviews are required to be undertaken every three years.</p>	Y
		<p>A review of the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Audit Reg 17 was last undertaken in August 2019. These reviews are required to be undertaken every three years.</p>	Y
		<p>Improvements:</p> <p>Ensure the review of financial management systems and procedures as required by regulation 5(2)(c) of the <i>Local Government (Financial Management) Regulations 1996</i> is undertaken during 2023, and subsequent future reviews are undertaken as required by legislation.</p>	
		<p>Ensure the next review of systems and procedures in relation to risk management, internal control and legislative compliance as required by regulation 17 of the <i>Local Government (Audit) Regulations 1996</i> is undertaken during 2023, and subsequent future reviews are undertaken as required by legislation.</p>	

Question No.	Section/Topic	Matters Identified / Improvements	Reportable in CAR (Y/N)
4	Optional Questions	A policy relating to attendance at events has not been prepared / adopted by Council.	Y
		<p>Improvement:</p> <p>Develop and adopt an attendance at events policy as required by section 5.90 of the <i>Local Government Act 1995</i>.</p>	
5	Optional Questions	Details of the type, and the amount or value, of any fees, expenses or allowances paid to each council member during the 2020/21 financial year were not published on the local government website as required by regulation 29C of the <i>Local Government (Administration) Regulations 1996</i> .	Y
		Local Public notices published in newspapers etc. do not appear to be consistently published on the Shire's website as required by legislation.	Y
		Details of individuals lodging a primary or annual return for the financial year beginning on or after 1 July 2020 has not been published on the official local government website as required by legislation.	Y
		<p>Improvement:</p> <p>Publish details of payments to elected members for the 2021/22 financial to the local government website. Ensure future disclosures are made for each financial year by 14 July immediately following the end of the financial year to which the information relates, as required by legislation.</p>	
		Ensure all notices relating to local public notice and statewide public notice is published on the website to comply with sections 1.7 & 1.8 of the <i>Local Government Act 1995</i> . Consider a mechanism/report trail for future compliance checks to be performed.	
		Publish details of individuals lodging a primary or annual return for the financial year beginning on or after 1 July 2020 as required by regulation 29C of the <i>Local Government (Administration) Regulations 1996</i> to the official local government website, and ensure it is within the timeframes required by legislation.	
6	Optional Questions	A general policy for Councillors attending conferences etc. was adopted in 2020. This policy has not been updated since that time	Y
		<p>Improvement:</p>	

Question No.	Section/Topic	Matters Identified / Improvements	Reportable in CAR (Y/N)
		Review and prepare a policy which satisfies s5.128 of the <i>Local Government Act 1995</i> for Ongoing Elected Member Professional Development.	

Question No.	Section/Topic	Matters Identified / Improvements	Reportable in CAR (Y/N)
7	Optional Questions	<p>A report detailing training for elected members is not available on the Shire website as required by legislation.</p> <p>Improvement:</p> <p>Prepare and publish report on local government website detailing training completed by elected members during 2020/21 as required by s5.127 of the <i>Local Government Act 1995</i>. Ensure future reports are published to the local government website within one month of the EOFY to which the report relates.</p>	Y
2	Tenders for Providing Goods and Services	<p>Non-compliance between procurement thresholds and purchasing requirements for low value purchases has possibly occurred during the review period. It was noted with management it is very difficult to declare during the review period the appropriate number of quotations had been obtained for every purchase (particularly low value purchases) in accordance with the purchasing policy.</p> <p>The tender register as required by regulation 17 of the <i>Local Government (Function and General) Regulations 1996</i> was not uploaded to the official local government website. We noted the tender register had not been consistently maintained in the format required by legislation, however the tender information published on the website was a summary list of tenders, rather than the official tender register.</p> <p>Improvements:</p> <p>Review systems and controls to minimise risks of non compliance with adopted purchasing policy.</p> <p>Maintain and publish the tender register required by regulation 17 of the <i>Local Government (Function and General) Regulations 1996</i> to the official local government website.</p>	Y

Dundas – Compliance Audit Return

Commercial Enterprises by Local Governments				
No	Reference	Question	Response	Comments
1	s3.59(2)(a) F&G Regs 7,9,10	Has the local government prepared a business plan for each major trading undertaking that was not exempt in 2022?	N/A	
2	s3.59(2)(b) F&G Regs 7,8A, 8, 10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2022?	N/A	
3	s3.59(2)(c) F&G Regs 7,8A, 8,10	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 2022?	N/A	
4	s3.59(4)	Has the local government complied with public notice and publishing requirements for each proposal to commence a major trading undertaking or enter into a major land transaction or a land transaction that is preparatory to a major land transaction for 2022?	N/A	
5	s3.59(5)	During 2022, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority?	N/A	

Delegation of Power/Duty				
No	Reference	Question	Response	Comments
1	s5.16	Were all delegations to committees resolved by absolute majority?	Yes	Item 10.2.3 OCM held 22/02/2022
2	s5.16	Were all delegations to committees in writing?	Yes	
3	s5.17	Were all delegations to committees within the limits specified in section 5.17 of the Local Government Act 1995?	Yes	
4	s5.18	Were all delegations to committees recorded in a register of delegations?	Yes	
5	s5.18	Has council reviewed delegations to its committees in the 2021/2022 financial year?	Yes	Item 10.2.3 OCM held 22/02/2022

6	s5.42(1) & s5.43 Admin Reg 18G	Did the powers and duties delegated to the CEO exclude those listed in section 5.43 of the Local Government Act 1995?	Yes	
7	s5.42(1)	Were all delegations to the CEO resolved by an absolute majority?	Yes	
8	s5.42(2)	Were all delegations to the CEO in writing?	Yes	Item 10.2.3 OCM held 22/02/2022
9	s5.44(2)	Were all delegations by the CEO to any employee in writing?	Yes	
10	s5.16(3)(b) & s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority?	N/A	
11	s5.46(1)	Has the CEO kept a register of all delegations made under Division 4 of the Act to the CEO and to employees?	Yes	
12	s5.46(2)	Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2021/2022 financial year?	Yes	Item 10.2.3 OCM held 22/02/2022
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 in accordance with Local Government (Administration) Regulations 1996, regulation 19?	Yes	

Disclosure of Interest				
No	Reference	Question	Response	Comments
1	s5.67	Where a council member disclosed an interest in a matter and did not have participation approval under sections 5.68 or 5.69 of the Local Government Act 1995, did the council member ensure that they did not remain present to participate in discussion or decision making relating to the matter?	N/A	
2	s5.68(2) & s5.69(5) Admin Reg 21A	Were all decisions regarding participation approval, including the extent of participation allowed and, where relevant, the information required by the Local Government (Administration) Regulations 1996 regulation 21A, recorded in the minutes of the relevant council or committee meeting?	No	Item 10.2.3 OCM 16/08/2022 did not record in the minutes the extent of participation.
3	s5.73	Were disclosures under sections 5.65, 5.70 or 5.71A(3) of the Local Government Act 1995 recorded in the minutes of the meeting at which the disclosures were made?	Yes	
4	s5.75 Admin Reg 22, Form 2	Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day?	Yes	

5	s5.76 Admin Reg 23, Form 3	Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2022?	Yes	
6	s5.77	On receipt of a primary or annual return, did the CEO, or the mayor/president, give written acknowledgment of having received the return?	No	Procedures being reviewed by the administration and compliance training to be investigated to reduce future risks of non compliance.
7	s5.88(1) & (2)(a)	Did the CEO keep a register of financial interests which contained the returns lodged under sections 5.75 and 5.76 of the Local Government Act 1995?	Yes	Procedures being reviewed by the administration and compliance training to be investigated to reduce future risks of non compliance.
8	s5.88(1) & (2)(b) 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, 5.71 and 5.71A of the Local Government Act 1995, in the form prescribed in the Local Government (Administration) Regulations 1996, regulation 28?	No	Procedures being reviewed by the administration and compliance training to be investigated to reduce future risks of non compliance.
9	s5.88(3)	When a person ceased to be a person required to lodge a return under sections 5.75 and 5.76 of the Local Government Act 1995, did the CEO remove from the register all returns relating to that person?	Yes	
10	s5.88(4)	Have all returns removed from the register in accordance with section 5.88(3) of the Local Government Act 1995 been kept for a period of at least five years after the person who lodged the return(s) ceased to be a person required to lodge a return?	Yes	
11	s5.89A(1), (2) & (3) Admin Reg 28A	Did the CEO keep a register of gifts which contained a record of disclosures made under sections 5.87A and 5.87B of the Local Government Act 1995, in the form prescribed in the Local Government (Administration) Regulations 1996, regulation 28A?	Yes	
12	s5.89A(5) & (5A)	Did the CEO publish an up-to-date version of the gift register on the local government's website?	Yes	
13	s5.89A(6)	When people cease to be a person who is required to make a disclosure under section 5.87A or 5.87B of the Local Government Act 1995, did the CEO remove from the register all records relating to those people?	N/A	No records requiring removal recorded during reporting period

14	s5.89A(7)	Have copies of all records removed from the register under section 5.89A(6) Local Government Act 1995 been kept for a period of at least five years after the person ceases to be a person required to make a disclosure?	N/A	
15	s5.70(2) & (3)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report?	Yes	
16	s5.71A & s5.71B(5)	Where council applied to the Minister to allow the CEO to provide advice or a report to which a disclosure under section 5.71A(1) of the Local Government Act 1995 relates, did the application include details of the nature of the interest disclosed and any other information required by the Minister for the purposes of the application?	N/A	
17	s5.71B(6) & s5.71B(7)	Was any decision made by the Minister under section 5.71B(6) of the Local Government Act 1995, recorded in the minutes of the council meeting at which the decision was considered?	N/A	
18	s5.104(1)	Did the local government prepare and adopt, by absolute majority, a code of conduct to be observed by council members, committee members and candidates within 3 months of the prescribed model code of conduct coming into operation (3 February 2021)?	No	Adopted SCM 30/07/2021
19	s5.104(3) & (4)	Did the local government adopt additional requirements in addition to the model code of conduct? If yes, does it comply with section 5.104(3) and (4) of the Local Government Act 1995?	N/A	
20	s5.104(7)	Has the CEO published an up-to-date version of the code of conduct for council members, committee members and candidates on the local government's website?	No	
21	s5.51A(1) & (3)	Has the CEO prepared and implemented a code of conduct to be observed by employee of the local government? If yes, has the CEO published an up-to-date version of the code of conduct for employees on the local government's website?	No	

Disposal of Property				
No	Reference	Question	Response	Comments

1	s3.58(3)	Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) of the Local Government Act 1995 (unless section 3.58(5) applies)?	N/A	
2	s3.58(4)	Where the local government disposed of property under section 3.58(3) of the Local Government Act 1995, did it provide details, as prescribed by section 3.58(4) of the Act, in the required local public notice for each disposal of property?	N/A	

Elections				
No	Reference	Question	Response	Comments
1	Elect Regs 30G(1) & (2)	Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors 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 forms relating to each candidate in accordance with regulations 30G(1) and 30G(2) of the Local Government (Elections) Regulations 1997?	Yes	No gifts received / accepted, however registers were maintained at the time of elections.
2	Elect Regs 30G(3) & (4)	Did the CEO remove any disclosure of gifts forms relating to an unsuccessful candidate, or a successful candidate that completed their term of office, from the electoral gift register, and retain those forms separately for a period of at least two years in accordance with regulation 30G(4) of the Local Government (Elections) Regulations 1997?	N/A	
3	Elect Regs 30G(5) & (6)	Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with regulation 30G(5) of the Local Government (Elections) Regulations 1997?	No	

Finance				
No	Reference	Question	Response	Comments
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 Local Government Act 1995?	Yes	Item 11.3.5 of OMC held 25 June 2020.

2	s7.1B	Where the council delegated to its audit committee any powers or duties under Part 7 of the Local Government Act 1995, did it do so by absolute majority?	Yes	
3	s7.9(1)	Was the auditor's report for the financial year ended 30 June 2022 received by the local government by 31 December 2022?	Yes	Received 19/12/2022
4	s7.12A(3)	Where the local government determined that matters raised in the auditor's report prepared under section 7.9(1) of the Local Government Act 1995 required action to be taken, did the local government ensure that appropriate action was undertaken in respect of those matters?	N/A	
5	s7.12A(4)(a) & (4)(b)	Where matters identified as significant were reported in the auditor's report, did the local government prepare a report that stated what action the local government had taken or intended to take with respect to each of those matters? Was a copy of the report given to the Minister within three months of the audit report being received by the local government?	No	2019-20 audit report received during reporting period noted significant adverse trend relating to operating surplus and asset sustainability ratio. Report received 6 April 2022.
6	s7.12A(5)	Within 14 days after the local government gave a report to the Minister under section 7.12A(4)(b) of the Local Government Act 1995, did the CEO publish a copy of the report on the local government's official website?	No	
7	Audit Reg 10(1)	Was the auditor's report for the financial year ending 30 June 2022 received by the local government within 30 days of completion of the audit?	No	

Local Government Employees				
No	Reference	Question	Response	Comments
1	s5.36(4) & s5.37(3) Admin Reg 18A	Were all CEO and/or senior employee vacancies advertised in accordance with Local Government (Administration) Regulations 1996, regulation 18A?	No	Works Manager position was not advertised as prescribed by regulations.
2	Admin Reg 18E	Was all information provided in applications for the position of CEO true and accurate?	N/A	

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 under section 5.36(4) of the Local Government Act 1995?	N/A	
4	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss senior employee?	No	Works Manager appointment was advised to Council through general communications, however the appointment was not formally considered by Council.
5	s5.37(2)	Where council rejected a CEO's recommendation to employ or dismiss a senior employee, did it inform the CEO of the reasons for doing so?	N/A	

Official Conduct				
No	Reference	Question	Response	Comments
1	s5.120	Has the local government designated an employee to be its complaints officer?	N/A	CEO is complaints officer.
2	s5.121(1) & (2)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that resulted in a finding under section 5.110(2)(a) of the Local Government Act 1995?	Yes	
3	S5.121(2)	Does the complaints register include all information required by section 5.121(2) of the Local Government Act 1995?	Yes	
4	s5.121(3)	Has the CEO published an up-to-date version of the register of the complaints on the local government's official website?	Yes	

Tenders for Providing Goods and Services				
No	Reference	Question	Response	Comments
1	F&G Reg 11A(1) & (3)	Did the local government comply with its current purchasing policy, adopted under the Local Government (Functions and General) Regulations 1996, regulations 11A(1) and (3) in relation to the supply of	No	Cannot guarantee compliance has occurred with all purchasing activities below \$250,000. Systems

		goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less?		being monitored to minimise risk of non compliance.
2	s3.57 F&G Reg 11	Subject to Local Government (Functions and General) Regulations 1996, regulation 11(2), did the local government invite tenders for all 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 Regulations?	Yes	
3	F&G Regs 11(1), 12(2), 13, & 14(1), (3), and (4)	When regulations 11(1), 12(2) or 13 of the Local Government Functions and General) Regulations 1996, required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with Regulation 14(3) and (4)?	Yes	
4	F&G Reg 12	Did the local government comply with Local Government (Functions and General) Regulations 1996, Regulation 12 when deciding to enter into multiple contracts rather than a single contract?	Yes	
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?	Yes	
6	F&G Regs 15 & 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 15 and 16?	Yes	
7	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of the Local Government (Functions and General) Regulations 1996, Regulation 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website?	No	Register to be maintained consistently and published to website.
8	F&G Reg 18(1)	Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender?	N/A	
9	F&G Reg 18(4)	Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept?	Yes	

10	F&G Reg 19	Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted?	Yes	
11	F&G Regs 21 & 22	Did the local government's advertising and expression of interest processes comply with the requirements of the Local Government (Functions and General) Regulations 1996, Regulations 21 and 22?	N/A	
12	F&G Reg 23(1) & (2)	Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice?	N/A	
13	F&G Reg 23(3) & (4)	Were all expressions of interest that were not rejected under the Local Government (Functions and General) Regulations 1996, Regulation 23(1) & (2) assessed by the local government? Did the CEO list each person as an acceptable tenderer?	N/A	
14	F&G Reg 24	Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with Local Government (Functions and General) Regulations 1996, Regulation 24?	N/A	
15	F&G Regs 24AD(2) & (4) and 24AE	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with Local Government (Functions & General) Regulations 1996 regulations 24AD(4) and 24AE?	Yes	
16	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?	Yes	
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 Local Government (Functions and General) Regulations 1996, Regulation 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application?	Yes	
18	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 Local Government (Functions and General) Regulations 1996, Regulation 24AG?	Yes	
19	F&G Reg 24AH(1)	Did the local government reject any 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?	Yes	

20	F&G Reg 24AH(3)	Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept?	Yes	
21	F&G Reg 24AI	Did the CEO send each applicant written notice advising them of the outcome of their application?	Yes	
22	F&G Regs 24E & 24F	Where the local government gave regional price preference, did the local government comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 24E and 24F?	Yes	

Integrated Planning and Reporting				
No	Reference	Question	Response	Comments
1	Admin Reg 19C	Has the local government adopted by absolute majority a strategic community plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	24/09/2022 2022-2032 SCP Adopted 5/0 at OCM 24/9/22 Item 10.2.3.
2	Admin Reg 19DA(1) & (4)	Has the local government adopted by absolute majority a corporate business plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	18/07/2017 CBP 2017/18-20/21 Adopted 5/0 at OCM 18/7/17 Item 10.3.5
3	Admin Reg 19DA(2) & (3)	Does the corporate business plan comply with the requirements of Local Government (Administration) Regulations 1996 19DA(2) & (3)?	No	Plan has not been reviewed as required

Optional Questions				
No	Reference	Question	Response	Comments
1	Financial Management Reg 5(2)(c)	Did the CEO review the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with the Local Government (Financial Management) Regulations 1996 regulations 5(2)(c) within the three financial years prior to 31 December 2022? If yes, please provide the date of council's resolution to accept the report.	No	Last review June 2019

2	Audit Reg 17	Did the CEO review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Local Government (Audit) Regulations 1996 regulation 17 within the three financial years prior to 31 December 2022? If yes, please provide date of council's resolution to accept the report.	No	Last review June 2019
3	s5.87C	Where a disclosure was made under sections 5.87A or 5.87B of the Local Government Act 1995, were the disclosures made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C of the Act?	N/A	
4	s5.90A(2) & (5)	Did the local government prepare, adopt by absolute majority and publish an up-to-date version on the local government's website, a policy dealing with the attendance of council members and the CEO at events?	No	External consultant has reviewed and provided improvements to be implemented where compliance gaps exist
5	s5.96A(1), (2), (3) & (4)	Did the CEO publish information on the local government's website in accordance with sections 5.96A(1), (2), (3), and (4) of the Local Government Act 1995?	No	External consultant has reviewed and provided improvements to be implemented where compliance gaps exist
6	s5.128(1)	Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members?	No	External consultant has reviewed and provided improvements to be implemented where compliance gaps exist
7	s5.127	Did the local government prepare a report on the training completed by council members in the 2021/2022 financial year and publish it on the local government's official website by 31 July 2022?	No	Training yet to be completed by elected members.
8	s6.4(3)	By 30 September 2022, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June 2022?	Yes	
9	s.6.2(3)	When adopting the annual budget, did the local government take into account all its expenditure, revenue and income?	Yes	

Chief Executive Officer Date

Mayor/President Date