



Greater Geraldton - Compliance Audit Return 2014

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 2014.	N/A	The City has no existing trading undertakings with expenditure exceeding the amount prescribed in LG(F&G) Reg'n 9 and no new undertakings were commenced in 2014.	Bob Davis
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 2014.	N/A	No such major land transactions were initiated in 2014.	Bob Davis
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 2014.	N/A	No such land transactions were initiated in 2014.	Bob Davis
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 2014.	N/A	No new major trading undertakings or major land transactions were commenced in 2014.	Bob Davis
5	s3.59(5)	Did the Council, during 2014, resolve to proceed with each major land transaction or trading undertaking by absolute majority.	N/A	No new major land transactions or major trading undertakings were initiated in 2014.	Bob Davis

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 to Committees	Sheri Moulds
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing.	N/A		Sheri Moulds
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17.	N/A		Sheri Moulds
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations.	N/A		Sheri Moulds
5	s5.18	Has Council reviewed delegations to its committees in the 2013/2014 financial year.	N/A		Sheri Moulds
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		Jeff Graham
7	s5.42(1)(2) Admin	Were all delegations to the CEO	Yes		Jeff Graham



	Reg 18G		resolved by an absolute majority.			
8	s5.42(1)(2) Admin Reg 18G	Admin	Were all delegations to the CEO in writing.	Yes		Jeff Graham
9	s5.44(2)		Were all delegations by the CEO to any employee in writing.	Yes		Jeff Graham
10	s5.45(1)(b)		Were all decisions by the Council to amend or revoke a delegation made by absolute majority.	N/A	There was no decision to amend or revoke a delegation made	Jeff Graham
11	s5.46(1)		Has the CEO kept a register of all delegations made under the Act to him and to other employees.	Yes		Jeff Graham
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 2013/2014 financial year.	Yes		Jeff Graham
13	s5.46(3) Admin Reg 19	Admin	Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record as required.	Yes		Jeff Graham

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		Sheri Moulds
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		Sheri Moulds
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		Sheri Moulds
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		Margot Adam
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.	No	Two employees were not issued with the appropriate forms within three months of their start date due to administrative error. This was rectified and the return completed.	Margot Adam
6	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2014.	Yes		Margot Adam
7	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2014.	No	One employee was not issued with the appropriate forms due	Margot Adam



					to administrative error (see 5 above) as the Primary Return was not completed prior to 31 August 2013.
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	Margot Adam
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	Margot Adam
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	Sheri Moulds
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	Margot Adam
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	Margot Adam
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	Sheri Moulds
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	Sheri Moulds
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	Sheri Moulds
16	s5.103(3) Admin Reg 34B		Has the CEO kept a register of all notifiable gifts received by Council members and employees.	Yes	Margot Adam



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	Complied with in accordance with requirements.	Brian Robartson
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	Complied with in accordance with requirements.	Brian Robartson

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

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		Paul Radalj
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 has no delegated powers under Part 7 of the Act	Paul Radalj
3	s7.3	Was the person(s) appointed by the local government to be its auditor, a registered company auditor.	Yes		Paul Radalj
4	s7.3	Was the person(s) appointed by the local government to be its auditor, an approved auditor.	Yes		Paul Radalj
5	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		Paul Radalj
6	Audit Reg 10	Was the Auditor's report for the financial year ended 30 June 2014 received by the local government within 30 days of completion of the audit.	Yes		Paul Radalj
7	s7.9(1)	Was the Auditor's report for	Yes		Paul Radalj



		2013/2014 received by the local government by 31 December 2014.			
8	S7.12A(3), (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 that action undertaken.	N/A	No matters raised in the auditors report prepared under s7.9(1) of the Act required action to be taken	Paul Radalj
9	S7.12A(3), (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		Paul Radalj
10	S7.12A(3), (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		Paul Radalj
11	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit.	Yes		Paul Radalj
12	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit.	Yes		Paul Radalj
13	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit.	Yes		Paul Radalj
14	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		Paul Radalj
15	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		Paul Radalj

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	There was no appointment of a CEO in this return period.	Jeff Graham
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		Jeff Graham
3	Admin Reg 18F	Was the remuneration and other	Yes		Jeff Graham



		benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position of CEO under section 5.36(4).			
4	Admin Regs 18E	Did the local government ensure checks were carried out to confirm that the information in an application for employment was true (applicable to CEO only).	Yes		Jeff Graham
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.	N/A	There are no designated employees	Jeff Graham

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.	N/A	The CEO is the complaints officer.	Sheri Moulds
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		Sheri Moulds
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		Sheri Moulds
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		Sheri Moulds
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		Sheri Moulds
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)(c).	Yes		Sheri Moulds



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	One contract was for less than the consideration stated in regulation 11(1) and minor procurement procedures were used. Variations due to unexpected events increased the contract figure above the consideration in Reg 11(1) after the contract was awarded.	Brodie Pearce
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		Brodie Pearce
3	F&G Reg 14(1)	Did the local government invite tenders via Statewide public notice.	Yes		Brodie Pearce
4	F&G Reg 14, 15 & 16	Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16.	Yes		Brodie Pearce
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		Brodie Pearce
6	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.	Yes		Brodie Pearce
7	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.	No	Assessment on one tender was not initially made in accordance with the written evaluation criteria. The assessment process has been reviewed and additional control measures implemented to ensure future assessment against written evaluation criteria.	Brodie Pearce
8	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		Brodie Pearce
9	F&G Reg 19	Was each tenderer sent written notice advising particulars of the successful tender or advising that no tender was accepted.	Yes		Brodie Pearce
10	F&G Reg 21 & 22	Did the local governments' advertising and expression of interest	Yes		Brodie Pearce



		documentation comply with the requirements of F&G Regs 21 and 22.		
11	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.	Yes	Brodie Pearce
12	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	Brodie Pearce
13	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	Brodie Pearce
14	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).	Yes	Brodie Pearce
15	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, \$100,000 or less.	Yes	Brodie Pearce

