

Unconfirmed
Audit & Risk
Committee Minutes
March 2024



Minutes of an Audit & Risk Committee Meeting of Council held in the Council Chambers on Wednesday 20 March 2024 commencing at 1:08pm

1. DECLARATION OF OPENING / ANNOUNCEMENT OF VISITORS

President Grant Robins declared the meeting open at 1:00pm

2. RECORD OF ATTENDANCE/APOLOGIES/LEAVE OF ABSENCE

ATTENDANCE

G Robins	President
B Smoker	Deputy President
T Gangell	Councillor
J Noble	Councillor
C Mullan	Councillor
R Bowey	Councillor
B Miller	Councillor
M Lucchesi	Councillor
A Leeson	Chief Executive Officer
F Murphy	Executive Manager Financial Services
N Thompson	Manager of Executive Support Services

APOLOGIES

Nil

3. CONFIRMATION OF MINUTES OF PREVIOUS MEETINGS

3.1 Audit & Risk Committee Meeting Minutes – 5 December 2023

4. MATTERS REQUIRING DECISION

4.1 Compliance Audit Return 2023 - Adoption

5. NEW BUSINESS OF AN URGENT NATURE INTRODUCED BY DECISION OF MEETING

6. DATE AND TIME OF NEXT MEETING

7. CLOSURE OF MEETING

3. CONFIRMATION OF MINUTES OF PREVIOUS MEETINGS

3.1 Shire of Kulin Audit & Risk Committee Meeting – 5 December 2024

AR 01/0324

Moved Cr Bowey Seconded Cr Noble that the minutes of the Audit & Risk Committee Meeting held on 5 December 2023 be confirmed as a true and correct record.

Carried 8/0

For – Cr Robins, Cr Smoker, Cr Gangell, Cr Noble, Cr Mullan, Cr Bowey, Cr Miller, Cr Lucchesi

Against - Nil

4. MATTERS REQUIRING DECISION

4.1 Compliance Audit Return 2023 – Adoption

NAME OF APPLICANT: CEO
RESPONSIBLE OFFICER: CEO
FILE REFERENCE: 04.02 Local Government Act & Returns
STRATEGIC REFERENCE/S: CBP 4.1 Civic Leadership, 4.1.8 Compliance methods
AUTHOR: CEO
DISCLOSURE OF INTEREST: NIL

SUMMARY:

To present the Compliance Audit Return to the Audit and Risk Committee who adopt the report and make recommendation to Council.

BACKGROUND:

Each year all local governments across the State are required by legislation to undertake a compliance audit for the period 1 January to 31 December. This audit is performed against the requirements of the Compliance Audit Return prepared by the Department of Local Government covering the following business areas considered to be 'high risk':

- Commercial Enterprises by Local Government;
- Delegation of Power / Duty;
- Disclosure of Interest;
- Disposal of Property;
- Elections;
- Finance;
- Local Government Employees;
- Official Conduct; and
- Tendering for Providing Goods & Services
- Optional Questions

The Officer notes one area of non-compliance relating to the establishment of the audit committee. After each election, Council appoint Councillors to various committees and portfolios. Section 7.1A requires the audit committee to be appointed by absolute majority. The voting requirement for this item was a simple majority. It should be noted that the item passed with 9 affirmative votes which would constitute an absolute majority.

COMMENT:

The Audit and Risk Committee's consideration and endorsement of the Compliance Audit Return (addressing those areas identified as high risk) is required prior to the report being submitted to the Department of Local Government and Communities. A completed return for the year ended 31 December 2023 is due to the Department by the 31 March 2024.

Please note that the Risk and Audit Committee is required to review the completed CAR and report the results to the Council, prior to the CAR's adoption by Council and submission to the Department by 31 March 2024.

The Compliance Audit Return is attached for the Committee's and Council's consideration.

STATUTORY IMPLICATIONS:

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.
- (3A) 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 sub-regulation (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.
- (2) In this regulation, certified in relation to a compliance audit return means signed by;
 - (a) the mayor or president; and
 - (b) the CEO.

FINANCIAL IMPLICATIONS:

Nil

POLICY IMPLICATIONS:

Nil

COMMUNITY STRATEGIC PLAN IMPLICATIONS:

Nil

COMMITTEE RECOMMENDATION:

That the Audit and Risk Committee recommend to Council that;

1. Council adopt the Compliance Audit Return 2023, as presented;
2. The Chief Executive Officer and the Shire President be authorised to sign the Compliance Audit Return 2023;
3. Endorse the return for submission to the Department of Local Government, Sport and Cultural Industries by 31 March 2024.

VOTING REQUIREMENTS:

Absolute Majority Required

AR 02/0324

Moved Cr Gangell Seconded Cr Smoker that the Audit and Risk Committee recommend to Council that;

- 1. Council adopt the Compliance Audit Return 2023, as presented;**
- 2. The Chief Executive Officer and the Shire President be authorised to sign the Compliance Audit Return 2023;**
- 3. Endorse the return for submission to the Department of Local Government, Sport and Cultural Industries by 31 March 2024**

Carried 8/0

For – Cr Robins, Cr Smoker, Cr Gangell, Cr Noble, Cr Mullan, Cr Bowey, Cr Miller, Cr Lucchesi

Against - Nil

5 NEW BUSINESS OF AN URGENT NATURE INTRODUCED BY DECISION OF MEETING

Nil

6 DATE AND TIME OF NEXT MEETING

To be confirmed.

7 CLOSURE OF MEETING

There being no further business the President declared the meeting closed at 1:11pm

Minutes of an Audit & Risk Committee Meeting of Council held in the Council Chambers on Tuesday 5 December 2023 commencing at 5:00pm

1. DECLARATION OF OPENING / ANNOUNCEMENT OF VISITORS

President Grant Robins declared the meeting open at 5:00pm

2. RECORD OF ATTENDANCE/APOLOGIES/LEAVE OF ABSENCE

ATTENDANCE

G Robins	President
B Smoker	Deputy President
J Noble	Councillor
C Mullan	Councillor
R Bowey	Councillor
B Miller	Councillor
M Lucchesi	Councillor
A Leeson	Chief Executive Officer
F Murphy	Executive Manager Financial Services
N Thompson	Manager of Executive Support Services

APOLOGIES

T Gangell	Councillor
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3. CONFIRMATION OF MINUTES OF PREVIOUS MEETINGS

3.1 Audit & Risk Committee Meeting Minutes – 20 September 2023

4. MATTERS REQUIRING DECISION

4.1 Annual Report & Financial Statements for the Year Ended 30 June 2023

4.2 Review of Systems & Procedures Report (Regulation 17 Review)

5. NEW BUSINESS OF AN URGENT NATURE INTRODUCED BY DECISION OF MEETING

6. DATE AND TIME OF NEXT MEETING

7. CLOSURE OF MEETING

3. CONFIRMATION OF MINUTES OF PREVIOUS MEETINGS

3.1 Shire of Kulin Audit & Risk Committee Meeting – 20 September 2023

AR 01/1223

Moved Cr Smoker Seconded Cr Noble that the minutes of the Audit & Risk Committee Meeting held on 20 September 2023 be confirmed as a true and correct record.

Carried 7/0

4. MATTERS REQUIRING DECISION

4.1 Annual Report & Financial Statements for the Year Ended 30 June 2023

RESPONSIBLE OFFICER: EMFS
FILE REFERENCE: 12.03 Audit
AUTHOR: EMFS
DISCLOSURE OF INTEREST: Nil

SUMMARY:

The Shire of Kulin's Financial Statements for the year ended 30 June 2023 have been audited by AMD Chartered Accountants on behalf of the Office of the Auditor General (OAG). The OAG has issued its unqualified Audit Report. The Annual Report and Financial Statements for the year ended 30 June 2023 must now be accepted by Council.

BACKGROUND & COMMENT:

Representatives from AMD on behalf of the Office of the Auditor General, conducted an interim audit onsite in June 2023 and the final audit in October 2023.

The Audit Exit meeting was held on Tuesday 28 November 2023 via video conference. Kien Neoh, Director Financial Audit from the OAG and Tim Partridge, Director at AMD Chartered Accountants attended. The Shire was represented by President Robins and Councillor Gangell, along with the CEO and EMFS. Mr Neoh and Mr Partridge provided an overview of the 2022/23 Financial Statement Audit and issues raised in the management letter.

The CEO received the final stamped version of the Financial Statements and Auditor's Report for the year ended 30 June 2023, along with the Final Management Letter on 30 November 2023. Management have responded to issues raised in the management letter. A copy of the Financial Statements, Auditors Report and Management Letter are included as attachments to this item.

In accordance with s5.54 of the Local Government Act 1995 a local government is required to prepare and accept an annual report for each financial year, no later than 31 December after that financial year.

The CEO is required to publish the annual report on the local government's website within 14 days after it has been accepted by the local government. A copy of the annual financial report of a local government is to be submitted to the Departmental CEO within 30 days of the receipt by the local government.

STATUTORY AND PLANNING IMPLICATIONS:

Local Government Act 1995

5.54. *Acceptance of annual reports*

- (1) *Subject to subsection (2), the annual report for a financial year is to be accepted* by the local government no later than 31 December after that financial year.*

** Absolute majority required.*

- (2) *If the auditor's report is not available in time for the annual report for a financial year to be accepted by 31 December after that financial year, the annual report is to be accepted by the local government no later than 2 months after the auditor's report becomes available.*

[Section 5.54 amended: No. 49 of 2004 s. 49.]

5.55. *Notice of annual reports*

The CEO is to give local public notice of the availability of the annual report as soon as practicable after the report has been accepted by the local government.

5.55A. *Publication of annual reports*

The CEO is to publish the annual report on the local government's official website within 14 days after the report has been accepted by the local government.

Local Government (Financial Management) Regulations 1996

51. *Annual financial report to be signed etc. by CEO and given to Department*

- (1) *After the annual financial report has been audited in accordance with the Act the CEO is to sign and append to the report a declaration in the form of Form 1.*
- (2) *A copy of the annual financial report of a local government is to be submitted to the Departmental CEO within 30 days of the receipt by the local government's CEO of the auditor's report on that financial report.*

FINANCIAL IMPLICATIONS:

Audit fees provided for the in 2022/23 Shire of Kulin budget.

POLICY IMPLICATIONS:

Nil

COMMUNITY CONSULTATION:

Nil

WORKFORCE IMPLICATIONS:

Nil

OFFICER'S RECOMMENDATION:

That the committee recommends to Council to accept the Annual Report and Audited Financial Statements, Auditors Report and Management Letter for year ended 30 June 2023 as presented in the attachments.

VOTING REQUIREMENTS:

Simple Majority

AR 02/1223

Moved Cr Lucchesi Seconded Cr Miller that the Audit and Risk Committee recommend to Council to accept the Annual Report and Audited Financial Statements, Auditors Report and Management Letter for year ended 30 June 2023 as presented in the attachments.

Carried 7/0

For – Cr Robins, Cr Smoker, Cr Noble, Cr Mullan, Cr Bowey, Cr Miller, Cr Lucchesi

Against - Nil

4.2 Review of Systems & Procedures Report (Regulation 17 Review)

RESPONSIBLE OFFICER: Chief Executive Officer
FILE REFERENCE: 12.03
AUTHOR: Chief Executive Officer
STRATEGIC REFERENCE/S: 27.03
DISCLOSURE OF INTEREST: Nil

SUMMARY:

This report recommends that the Audit and Risk Committee note and accept the Systems and Procedures Review commonly referred to as the "Regulation 17 Review", completed by Civic Legal in October 2023.

BACKGROUND & COMMENT:

In 2013, Regulation 17 of the Local Government (Audit) Regulations 1996 were amended to include a requirement for the CEO to review the appropriateness and effectiveness of a local government's systems and procedures in relation to risk management, internal controls, and legislative compliance once every two years.

In 2018, amendments were made to the Local Government Act 1996 (including the Financial Management and Audit Regulations) which resulted in the frequency of Regulation 17 reviews to be not less than once every three financial years. The role of the Audit Committee was also amended so that the Audit Committee has greater involvement in assisting the CEO to carry out the review under Regulation 17.

The CEO last presented a review of the Shire's systems and procedures in relation to risk management, internal control and legislative requirements to the Audit Committee meeting held on the 16th of June 2021. Given the requirements of Regulation 17 a review of the Shire of Kulin's systems and procedures is required within the 2023/2024 financial year.

In the past, the Shire of Kulin have prepared risk management policies and conducted the triennial review of systems and procedures internally. For the review due in 2023/2024 Civic Legal were engaged as an external consultant to prepare an independent report. Civic Legal have substantial experience and knowledge of Local Government regulations and have conducted many Regulation 17 reviews. They conducted a series of interviews with officers to review key areas of the Department of Local Government's guidelines and assess the relevant internal systems, procedures and operational documentation.

STATUTORY AND PLANNING IMPLICATIONS:

Local Government Act 1995

Local Government (Audit) Regulations 1996

17. *CEO to review certain systems and procedures*
- (1) *The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to —*
 - (a) *risk management; and*
 - (b) *internal control; and*
 - (c) *legislative compliance.*
 - (2) *The review may relate to any or all of the matters referred to in subregulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review not less than once in every 3 financial years.*
 - (3) *The CEO is to report to the audit committee the results of that review.*

The Audit Regulation 17 review included but not limited to;

- *Review of the risk management systems policies, procedures and plans in place;*
- *Review of internal control systems and procedures;*
- *Review systems and processes in place pertinent to legislative compliance;*
- *Identify within the three main areas of review: risk management, internal control and legislative compliance where improvements could be made; and*
- *Prepare a report of matters identified during the review to assist the Chief Executive Officer to assess the appropriateness and effectiveness of the relevant systems and procedures in accordance with Audit Regulation 17.*

Audit Regulation 17 requires the CEO to review the appropriateness and effectiveness of their risk management, internal controls and legislative compliance procedures. The results of the review are to be reported by the CEO to the Audit Committee.

The Audit Committee is required to review the CEO's report and then report to the Council. The report from the Audit Committee to the Council is required to have attached a copy of the CEO's report to the Audit Committee.

FINANCIAL IMPLICATIONS:

There are no known direct financial implications for Council in consideration of this item

POLICY IMPLICATIONS:

There will be ongoing improvements to existing internal policies and internal controls and the introduction of a number of new policies / registers / procedures and controls coming out of this review.

COMMUNITY CONSULTATION:

Nil

WORKFORCE IMPLICATIONS:

A lot of the issues identified by Civic Legal within the Report will impact on the workforce of the Shire, mostly in an administrative sense. Subsequent to the Council's consideration and endorsement of the Report, management will put in place an improvement framework and actions which address priorities identified in consideration of the report.

OFFICER'S RECOMMENDATION:

That the Audit and Risk Committee;

- note and accept the Systems and Procedures Review Report completed by Civic Legal commonly referred to as the "Regulation 17 Review".
- Direct the Chief Executive Officer prepare an improvement framework and list of prioritised actions against the suggested actions detailed within the Review Report by Civic Legal.

VOTING REQUIREMENTS:

Simple Majority.

AR 03/1223

Moved Cr Mullan Seconded Cr Lucchesi that the Audit and Risk Committee recommend to Council to

- note and accept the Systems and Procedures Review Report completed by Civic Legal commonly referred to as the "Regulation 17 Review".
- direct the Chief Executive Officer prepare an improvement framework and list of prioritised actions against the suggested actions detailed within the Review Report by Civic Legal

Carried 7/0

For – Cr Robins, Cr Smoker, Cr Noble, Cr Mullan, Cr Bowey, Cr Miller, Cr Lucchesi

Against - Nil

5 NEW BUSINESS OF AN URGENT NATURE INTRODUCED BY DECISION OF MEETING

Nil

6 DATE AND TIME OF NEXT MEETING

To be confirmed

7 CLOSURE OF MEETING

There being no further business the President declared the meeting closed at 5:10pm

Compliance Audit Return

Start ✓
Details ✓
Commercial Enterprises ✓
Delegation ✓
Disclosure of Interest ✓
Disposal of Property ✓
Elections ✓
Finance ✓
Integrated Planning and Reporting ✓
Employees ✓
Conduct ✓
Other ✓
Tenders ✓
Documents ✓
Review

Finalise

Details

Local Government

Kulin, Shire of

Created By

Alan Leeson

Year of Return

2023

Status

Draft

Commercial Enterprises by Local Governments

1. Has the local government prepared a business plan for each major trading undertaking that was not exempt in 2023? *

N/A

Add comments

Please enter comments *

The Shire of Kulin has not commenced any major trading undertaking, exempt or otherwise

2. Has the local government prepared a business plan for each major land transaction that was not exempt in 2023? *

N/A

Add comments

Please enter comments *

The shire of Kulin has not commenced any major land transaction, exempt or otherwise

3. 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 2023? *

N/A

Add comments

Please enter comments *

The Shire of Kulin is not preparing to enter into and major land transaction at this time

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 2023? *

N/A

Add comments

Please enter comments *

The shire of Kulin is not preparing to enter into any major land transactions at this time

5. During 2023, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority? *

N/A

Add comments

—

Delegation of Power/Duty

1. Were all delegations to committees resolved by absolute majority? *

Yes

Add comments

—

2. Were all delegations to committees in writing? *

Yes

Add comments

—

3. Were all delegations to committees within the limits specified in section 5.17 of the Local Government Act 1995? *

Yes

Add comments

4. Were all delegations to committees recorded in a register of delegations? *

Yes

Add comments

5. Has council reviewed delegations to its committees in the 2022/2023 financial year? *

Yes

Add comments

Please enter comments *

Ordinary Meeting of Council 17 May 2023

6. Did the powers and duties delegated to the CEO exclude those listed in section 5.43 of the Local Government Act 1995? *

Yes

Add comments

7. Were all delegations to the CEO resolved by an absolute majority? *

Yes

Add comments

8. Were all delegations to the CEO in writing? *

Yes

Add comments

—

9. Were all delegations by the CEO to any employee in writing? *

Yes

Add comments

—

10. Were all decisions by the Council to amend or revoke a delegation made by absolute majority? *

N/A

Add comments

—

11. Has the CEO kept a register of all delegations made under Division 4 of the Act to the CEO and to employees? *

Yes

Add comments

—

12. Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2022/2023 financial year? *

Yes

Add comments

—

13. 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

Add comments

—

Disclosure of Interest

1. 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? *

Yes

Add comments

—

2. 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? *

N/A

Add comments

—

3. 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

Add comments

4. Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day? *

Yes

Add comments

5. Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2023? *

Yes

Add comments

6. On receipt of a primary or annual return, did the CEO, or the Mayor/President, give written acknowledgment of having received the return? *

Yes

Add comments

7. 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

Add comments

8. 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? *

Yes

Add comments

—

9. 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? *

N/A

Add comments

—

10. 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

Add comments

—

11. 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

Add comments

—

12. Did the CEO publish an up-to-date version of the gift register on the local government's website? *

Yes

Add comments

—

13. 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

Add comments

—

14. Have copies of all records removed from the register under section 5.89A(6) of the 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? *

Yes

Add comments

—

15. 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

Add comments

—

16. 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

Add comments

—

17. 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

Add comments

—

18. Did the local government prepare and adopt, by absolute majority, a code of conduct to be observed by council members, committee members and candidates that incorporates the model code of conduct? *

Yes

Add comments

—

19. Did the local government adopt additional requirements in addition to the model code of conduct? *

N/A

Add comments

—

20. 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? *

Yes

Add comments

—

21. Has the CEO prepared and implemented a code of conduct to be observed by employees of the local government? *

Yes

Add comments

—

21a. Has the CEO published an up-to-date version of the code of conduct for employees on the local government's website? *

Yes

Disposal of Property

1. 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

Add comments

—

2. 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) in the required local public notice for each disposal of property? *

N/A

Add comments

Elections

1. 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 regulation 30G(1) and regulation 30G(2) of the Local Government (Elections) Regulations 1997? *

Yes

Add comments

2. Did the CEO remove any disclosure of gifts forms relating to unsuccessful candidates, or successful candidates 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

Add comments

3. 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? *

Yes

Add comments

Finance

1. 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

Add comments

—

2. 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? *

N/A

Add comments

—

3. Was the auditor's report for the financial year ended 30 June 2023 received by the local government by 31 December 2023? *

Yes

Add comments

—

4. 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

Add comments

—

5. 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? *

N/A

Add comments

—

6. 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? *

Yes

Add comments

—

7. Was the auditor's report for the financial year ending 30 June 2023 received by the local government within 30 days of completion of the audit? *

Yes

Add comments

—

Integrated Planning and Reporting

1. Has the local government adopted by absolute majority a strategic community plan? *

Yes

Add comments

Please provide the adoption date or the date of the most recent review *

16/02/2022

2. Has the local government adopted by absolute majority a corporate business plan? *

Yes

Add comments

Please provide the adoption date or the date of the most recent review *

22/06/2022

3. Does the corporate business plan comply with the requirements of Local Government (Administration) Regulations 1996 19DA(2) & (3)? *

Yes

Add comments

Local Government Employees

1. Were all CEO and/or senior employee vacancies advertised in accordance with Local Government (Administration) Regulations 1996, regulation 18A? *

Yes

Add comments

2. Was all information provided in applications for the position of CEO true and accurate? *

Yes

Add comments

—

3. 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? *

Yes

Add comments

—

4. Did the CEO inform council of each proposal to employ or dismiss senior employee? *

N/A

Add comments

—

5. 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

Add comments

—

Official Conduct

1. Has the local government designated an employee to be its complaints officer? *

No

Add comments

—

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

Add comments

—

3. Does the complaints register include all information required by section 5.121(2) of the Local Government Act 1995? *

Yes

Add comments

—

4. Has the CEO published an up-to-date version of the register of the complaints on the local government's official website? *

Yes

Add comments

—

Other

1. 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 2023?

Yes

Add comments

Please provide the date of council's resolution to accept the report. *

28/07/2021

2. 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 2023?

Yes

Add comments

Please provide the date of council's resolution to accept the report. *

05/12/2023

3. 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

Add comments

4. 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?

Yes

Add comments

5. 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?

Yes

Add comments

6. Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members?

Yes

Add comments

7. Did the local government prepare a report on the training completed by council members in the 2022/2023 financial year and publish it on the local government's official website by 31 July 2023?

Yes

Add comments

8. By 30 September 2023, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June 2023?

Yes

Add comments

—

9. When adopting the annual budget, did the local government take into account all its expenditure, revenue and income?

Yes

Add comments

—

Tenders for Providing Goods and Services

1. 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 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? *

Yes

Add comments

—

2. 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

Add comments

—

3. 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

Add comments

4. 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? *

N/A

Add comments

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

Add comments

6. 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

Add comments

7. 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? *

Yes

Add comments

8. 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

Add comments

9. 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

Add comments

10. Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted? *

Yes

Add comments

11. 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

Add comments

12. 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

Add comments

13. 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

Add comments

14. 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

Add comments

15. Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with Local Government (Functions and General) Regulations 1996, Regulations 24AD(4) and 24AE? *

N/A

Add comments

16. 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

Add comments

17. 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? *

N/A

Add comments

18. 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? *

N/A

Add comments

19. 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? *

N/A

Add comments

20. 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? *

N/A

Add comments

21. Did the CEO send each applicant written notice advising them of the outcome of their application? *

N/A

Add comments

22. 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? *

N/A

Add comments

Documents

There are no notes to display.
