

















| <b>Delegation of Power / Duty</b> |                                |  |                 |  |                   |
|-----------------------------------|--------------------------------|--|-----------------|--|-------------------|
| <b>No</b>                         | <b>Reference</b>               | <b>Question</b>  | <b>Response</b> | <b>Comments</b>  | <b>Respondent</b> |
| 1                                 | s5.16, 5.17, 5.18              | Were all delegations to committees resolved by absolute majority.  | N/A             |  | Moore Stephens    |
| 2                                 | s5.16, 5.17, 5.18              | Were all delegations to committees in writing.   | N/A             |  | Moore Stephens    |
| 3                                 | s5.16, 5.17, 5.18              | Were all delegations to committees within the limits specified in section 5.17.  | N/A             |  | Moore Stephens    |
| 4                                 | s5.16, 5.17, 5.18              | Were all delegations to committees recorded in a register of delegations.  | N/A             |  | Moore Stephens    |
| 5                                 | s5.18                          | Has Council reviewed delegations to its committees in the 2017/2018 financial year.  | N/A             |  | Moore Stephens    |
| 6                                 | s5.42(1),5.43<br>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             |  | Moore Stephens    |
| 7                                 | s5.42(1)(2) Admin<br>Reg 18G   | Were all delegations to the CEO resolved by an absolute majority.  | Yes             | Item 12.5.7 OMC<br>29/03/2018 Council<br>Resolution No. 1387 | Moore Stephens    |
| 8                                 | s5.42(1)(2) Admin<br>Reg 18G   | Were all delegations to the CEO in writing.  | Yes             |  | Moore Stephens    |
| 9                                 | s5.44(2)                       | Were all delegations by the CEO to any employee in writing.  | Yes             |  | Moore Stephens    |
| 10                                | s5.45(1)(b)                    | Were all decisions by the Council to amend or revoke a delegation made by absolute majority.   | N/A             |  | Moore Stephens    |
| 11                                | s5.46(1)                       | Has the CEO kept a register of all delegations made under the Act to him and to other employees.   | Yes             |  | Moore Stephens    |
| 12                                | s5.46(2)                       | Were all delegations made under Division 4 of Part 5 of the Act reviewed by the delegator at least once during the 2017/2018 financial year. | Yes             | Item 12.5.7 OMC<br>29/03/2018 Council<br>Resolution No. 1387 | Moore Stephens    |
| 13                                | s5.46(3) Admin<br>Reg 19       | Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record as required.                     | Yes             | Monthly report<br>submitted to Council                       | Moore Stephens    |

| <b>Disclosure of Interest</b> |                  |   |                 |                 |                   |
|-------------------------------|------------------|---|-----------------|-----------------|-------------------|
| <b>No</b>                     | <b>Reference</b> | <b>Question</b>   | <b>Response</b> | <b>Comments</b> | <b>Respondent</b> |
| 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             |                 | Moore Stephens    |
| 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.  | N/A             |                 | Moore Stephens    |





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| 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      |  | Moore Stephens |
| 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.  | N/A      |  | Moore Stephens |
| 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      |  | Moore Stephens |
| 6  | s5.76(1) Admin Reg 23 Form 3                   | Was an annual return lodged by all continuing elected members by 31 August 2018.  | Yes      |  | Moore Stephens |
| 7  | s5.76(1) Admin Reg 23 Form 3                   | Was an annual return lodged by all designated employees by 31 August 2018.  | Yes      |  | Moore Stephens |
| 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      |  | Moore Stephens |
| 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      |  | Moore Stephens |
| 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      |  | Moore Stephens |
| 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      |  | Moore Stephens |
| 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      |  | Moore Stephens |
| 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. | N/A      |  | Moore Stephens |
| 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.                                   | No       | An instance was noted where a relevant person did not disclose an interest as required. Although they did not remain at the meeting whilst the item was considered, the interest was not properly disclosed. | Moore Stephens |



| 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. | N/A      |  | Moore Stephens |
| 16 | s5.103(3) Admin Reg 34B | Has the CEO kept a register of all notifiable gifts received by Council members and employees.  | No       | No entries exist as no gifts have been declared as received. A compliant gift register has since been created. | Moore Stephens |

### 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)).  | N/A      |          | Moore Stephens |
| 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. | N/A      |          | Moore Stephens |

### 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      | Item 12.5.5 OMC 10/11/17, resolution no. 1298                        | Moore Stephens |
| 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      |  | Moore Stephens |
| 3  | s7.3         | Was the person(s) appointed by the local government to be its auditor, a registered company auditor.  | N/A      | Office of the Auditor General (OAG) is appointed auditor for 2017/18 | Moore Stephens |
| 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.                   | N/A      |  | Moore Stephens |
| 5  | Audit Reg 10 | Was the Auditor's report for the financial year ended 30 June 2018 received by the local government within 30 days of completion of the audit.          | N/A      | Audit not yet finalised by Moore Stephens OAG                        | Moore Stephens |
| 6  | s7.9(1)      | Was the Auditor's report for the financial year ended 30 June 2018 received by the local government by 31 December 2018.                                | N/A      | Audit not yet finalised by Moore Stephens OAG                        | Moore Stephens |



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| No | Reference    | Question   | Response | Comments  | Respondent     |
|----|--------------|--|----------|---|----------------|
| 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      |   | Moore Stephens |
| 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      |   | Moore Stephens |
| 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      |   | Moore Stephens |
| 10 | Audit Reg 7  | Did the agreement between the local government and its auditor include the objectives of the audit.  | N/A      |   | Moore Stephens |
| 11 | Audit Reg 7  | Did the agreement between the local government and its auditor include the scope of the audit.   | N/A      |   | Moore Stephens |
| 12 | Audit Reg 7  | Did the agreement between the local government and its auditor include a plan for the audit.   | N/A      |   | Moore Stephens |
| 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.   | N/A      |   | Moore Stephens |
| 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.  | N/A      |   | Moore Stephens |
| 15 | Audit Reg 17 | Has the CEO reviewed the appropriateness and effectiveness of the local government's systems and procedures in accordance with regulation 17 of the Local Government (Audit) Regulations 1996.   | No       |   | Moore Stephens |
| 16 | Audit Reg 17 | If the CEO has not undertaken a review in accordance with regulation 17 of the Local Government (Audit) Regulations 1996, is a review proposed and when.   | Yes      | Consultants engaged through statutory compliance services agreement to conduct review in week commencing 25th March 2019. | Moore Stephens |



| No | Reference                | Question  | Response | Comments  | Respondent     |
|----|--------------------------|---|----------|---|----------------|
| 1  | s5.56 Admin Reg 19DA (6) | Has the local government adopted a Corporate Business Plan. If Yes, please provide adoption date of the most recent Plan in Comments. This question is optional, answer N/A if you choose not to respond.   | Yes      | CBP 2014-2018 Adopted<br>Item 12.4.7 OMC<br>27/6/13 Decision<br>number 0366.  | Moore Stephens |
| 2  | s5.56 Admin Reg 19DA (6) | Has the local government adopted a modification to the most recent Corporate Business Plan. If Yes, please provide adoption date in Comments. This question is optional, answer N/A if you choose not to respond.   | Yes      | Reviewed and adopted<br>Item 12.5.2 OMC<br>30/7/15 Decision<br>number 0831.<br><br>Review to CBP included<br>within four year contract<br>service for Statutory<br>Compliance Services<br>(commenced 1/7/18)                              | Moore Stephens |
| 3  | s5.56 Admin Reg 19C (7)  | Has the local government adopted a Strategic Community Plan. If Yes, please provide adoption date of the most recent Plan in Comments. This question is optional, answer N/A if you choose not to respond.  | Yes      | SCP 2013-2023 adopted<br>at OMC 24/4/13 (Item<br>12.4.3) Decision 0326.   | Moore Stephens |
| 4  | s5.56 Admin Reg 19C (7)  | Has the local government adopted a modification to the most recent Strategic Community Plan. If Yes, please provide adoption date in Comments. This question is optional, answer N/A if you choose not to respond.  | Yes      | Desktop review adopted<br>at OMC 30/7/15 (Item<br>12.5.3).<br><br>Review to SCP included<br>within four year contract<br>service for Statutory<br>Compliance Services<br>(commenced 1/7/18)   | Moore Stephens |
| 5  | S5.56                    | Has the local government adopted an Asset Management Plan. If Yes, in Comments please provide date of the most recent Plan, plus if adopted or endorsed by Council the date of adoption or endorsement. This question is optional, answer N/A if you choose not to respond.   | Yes      | Asset Management<br>Framework 2013-2017<br>adopted OMC 27/6/13<br>(Item 12.4.5) Decision<br>0364.<br><br>Review of the AMP<br>included within four year<br>contract service for<br>Statutory Compliance<br>Services (commenced<br>1/7/18) | Moore Stephens |
| 6  | S5.56                    | Has the local government adopted a Long Term Financial Plan. If Yes, in Comments please provide date of the most recent Plan, plus if adopted or endorsed by Council the date of adoption or endorsement. This question is optional, answer N/A if you choose not to respond. | Yes      | LTFP 2014-2029 adopted<br>1/8/13 (Item 12.4.4)<br>Decision 0379.<br><br>Review to LTFP included<br>within four year contract<br>service for Statutory<br>Compliance Services<br>(commenced 1/7/18)  | Moore Stephens |
| 7  | S5.56                    | Has the local government adopted a Workforce Plan. If Yes, in Comments please provide date of the most recent Plan plus if adopted or endorsed by Council the date of adoption or endorsement. This question is optional, answer N/A if you choose not to respond.            | Yes      | WFP 2013-2017 adopted<br>29/11/2012 (Item<br>11.4.4) Decision number<br>0255.<br><br>Review to SCP included<br>within four year contract<br>service for Statutory<br>Compliance Services<br>(commenced 1/7/18)                            | Moore Stephens |



| <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.                       | Yes             | Item 12.5.6 OMC 25/10/18 (Decision number 1543)            | Moore Stephens    |
| 2                                 | s5.36(4) s5.37(3),<br>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             | CEO vacancy not yet advertised during the reporting period | Moore Stephens    |
| 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             |  | Moore Stephens    |
| 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             |  | Moore Stephens    |
| 5                                 | s5.37(2)                            | Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.  | N/A             |  | Moore Stephens    |



| <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             | CEO is the complaints officer | Moore Stephens    |
| 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             |                               | Moore Stephens    |
| 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             |                               | Moore Stephens    |
| 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             |                               | Moore Stephens    |
| 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             |                               | Moore Stephens    |
| 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             |                               | Moore Stephens    |

| <b>Tenders for Providing Goods and Services</b> |                     |  |                 |                 |                   |
|---|---------------------|--|-----------------|-----------------|-------------------|
| <b>No</b>                                       | <b>Reference</b>    | <b>Question</b>  | <b>Response</b> | <b>Comments</b> | <b>Respondent</b> |
| 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             |                 | Moore Stephens    |
| 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             |                 | Moore Stephens    |
| 3   | F&G Reg 14(1) & (3) | Did the local government invite tenders via Statewide public notice.   | Yes             |                 | Moore Stephens    |
| 4   | F&G Reg 14 & 15     | Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16.  | Yes             |                 | Moore Stephens    |



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| No | Reference              | Question  | Response | Comments | Respondent     |
|----|------------------------|---|----------|----------|----------------|
| 5  | F&G Reg 14(5)          | If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer, notice of the variation. | N/A      |          | Moore Stephens |
| 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.  | Yes      |          | Moore Stephens |
| 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      |          | Moore Stephens |
| 8  | F&G Reg 18 (4)         | In relation to the tenders that were not rejected, did the local government assess which tender to accept and which tender was most advantageous to the local government to accept, by means of written evaluation criteria.      | Yes      |          | Moore Stephens |
| 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      |          | Moore Stephens |
| 10 | F&G Reg 19             | Was each tenderer sent written notice advising particulars of the successful tender or advising that no tender was accepted.  | Yes      |          | Moore Stephens |
| 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.  | Yes      |          | Moore Stephens |
| 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      |          | Moore Stephens |
| 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      |          | Moore Stephens |
| 14 | F&G Reg 24             | Was each person who submitted an expression of interest, given a notice in writing in accordance with Functions & General Regulation 24.  | Yes      |          | Moore Stephens |
| 15 | F&G Reg 24AD(2)        | Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice.  | N/A      |          | Moore Stephens |
| 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      |          | Moore Stephens |



| No | Reference       | Question  | Response | Comments   | Respondent     |
|----|-----------------|---|----------|--|----------------|
| 17 | F&G Reg 24AF    | Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of F&G Reg 16 as if the reference in that regulation to a tender were a reference to a panel application.   | N/A      |  | Moore Stephens |
| 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      |  | Moore Stephens |
| 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      |  | Moore Stephens |
| 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      |  | Moore Stephens |
| 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      |  | Moore Stephens |
| 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      |  | Moore Stephens |
| 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      | Regional Price Preference Policy 4.3 adopted at OMC 29/11/12 (Item 11.4.5) Decision number 0256. | Moore Stephens |
| 24 | F&G Reg 24F     | Did the local government comply with the requirements of F&G Reg 24F in relation to an adopted regional price preference policy.  | Yes      |  | Moore Stephens |
| 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      | Policy 4.2 Purchasing and Tenders  | Moore Stephens |





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

\_\_\_\_\_  
Signed Mayor / President, Menzies

\_\_\_\_\_  
Signed CEO, Menzies

**6. ELECTED MEMBERS MOTION OF WHICH PREVIOUS NOTICE HAVE BEEN GIVEN**

**7. NEW BUSINESS OF AN URGENT NATURE INTRICUED BY DECISION OF THE MEETING**

**8. NEXT MEETING**

The next meeting of the Audit Committee will be held on Thursday 30 May 2019 commencing at a time to be announced.

**9. CLOSURE OF MEETING**

There being no further business the Chairperson closed the meeting at .

**I, Greg Dwyer hereby certify that the minutes of the Audit Committee Meeting held 28 March 2019 are confirmed as a true and correct records as per the Audit committee Meeting held 30 May 2019.**

Signed \_\_\_\_\_ Dated : 30 May 2019