



Bunbury-Harvey Regional Council - Compliance Audit Return Regional Local Government 2015

Commercial Enterprises by Local Governments					
No	Reference	Question	Response	Comments	Respondent
1	s3.59(2)(a)(b)(c) Functions & General Regulation 7,9	Has the local government prepared a business plan for each major trading undertaking in 2015.	N/A	Bunbury Harvey Regional Council did not undertake any major trading in 2015.	Tony Battersby
2	s3.59(2)(a)(b)(c) Functions & General Regulation 7,10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2015.	N/A	Bunbury Harvey Regional Council did not undertake any land transactions in 2015.	Tony Battersby
3	s3.59(2)(a)(b)(c) Functions & General Regulation 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 2015.	N/A	Bunbury Harvey Regional Council did not undertake any land transactions in 2015.	Tony Battersby
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 2015.	N/A	Bunbury Harvey Regional Council did not undertake any major trading or land transactions in 2015.	Tony Battersby
5	s3.59(5)	Did the Council, during 2015, resolve to proceed with each major land transaction or trading undertaking by absolute majority.	N/A	Bunbury Harvey Regional Council did not undertake any major trading or land transactions in 2015.	Tony Battersby



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	The Bunbury Harvey Regional Council does not have any committees with delegation authority.	Tony Battersby	
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing.	N/A	The Bunbury Harvey Regional Council does not have any committees with delegation authority.	Tony Battersby	
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17.	N/A	The Bunbury Harvey Regional Council does not have any committees with delegation authority.	Tony Battersby	
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations.	N/A	The Bunbury Harvey Regional Council does not have any committees with delegation authority.	Tony Battersby	
5	s5.18	Has Council reviewed delegations to its committees in the 2014/2015 financial year.	N/A	The Bunbury Harvey Regional Council does not have any committees with delegation authority.	Tony Battersby	
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		Tony Battersby	
7	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO resolved by an absolute majority.	Yes		Tony Battersby	
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing.	Yes		Tony Battersby	
9	s5.44(2)	Were all delegations by the CEO to any employee in writing.	N/A	There were no delegations from the CEO to any employees in 2015.	Tony Battersby	
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority.	N/A	No decisions to revoke or amend a delegation were made in 2015.	Tony Battersby	
11	s5.46(1)	Has the CEO kept a register of all delegations made under the Act to him and to other employees.	Yes		Tony Battersby	
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 2014/2015 financial year.	Yes		Tony Battersby	
13	s5.46(3) Admin Reg 19	Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record as required.	Yes		Tony Battersby	

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).	N/A	No member disclosed an interest in 2015.	Tony Battersby
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	No member disclosed an interest in 2015.	Tony Battersby
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.	N/A	No member disclosed an interest in 2015.	Tony Battersby
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	Newly elected Councillors completed and lodged a Primary Return within three months of being sworn into Council.	Tony Battersby
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.	Yes		Tony Battersby
6	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2015.	Yes		Tony Battersby
7	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2015.	Yes		Tony Battersby
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		Tony Battersby
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		Tony Battersby
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		Tony Battersby
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		Tony Battersby
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		Tony Battersby



No	Reference	Question	Response	Comments	Respondent
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		Tony Battersby
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.	N/A		Tony Battersby
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		Tony Battersby
16	s5.103(3) Admin Reg 34B	Has the CEO kept a register of all notifiable gifts received by Council members and employees.	Yes		Tony Battersby

Disposal of Property

No	Reference	Question	Response	Comments	Respondent
1	s3.58(3)	Was any property that was not disposed of by public auction or tender, given local public notice prior to disposal (except where excluded by Section 3.58(5)).	Yes	All property disposed of was by public tender.	Tony Battersby
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	Public notice was given for all public tenders.	Tony Battersby

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		Tony Battersby
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	No delegations have been made to the Audit Committee.	Tony Battersby
3	s7.3	Was the person(s) appointed by the local government to be its auditor, a registered company auditor.	Yes		Tony Battersby
4	S7.3, s7.6(3)	Was the person or persons appointed by the local government to be its auditor, appointed by an absolute majority decision of Council.	Yes		Tony Battersby



No	Reference	Question	Response	Comments	Respondent
5	Audit Reg 10	Was the Auditor's report for the financial year ended 30 June 2015 received by the local government within 30 days of completion of the audit.	Yes		Tony Battersby
6	s7.9(1)	Was the Auditor's report for 2014/2015 received by the local government by 31 December 2015.	Yes		Tony Battersby
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	No action was determined to be taken as a result of the Auditor's report in 2015.	Tony Battersby
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	No action was determined to be taken as a result of the Auditor's report in 2015.	Tony Battersby
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	No action was determined to be taken as a result of the Auditor's report in 2015.	Tony Battersby
10	A Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit.	Yes		Tony Battersby
11	A Reg 7	Did the agreement between the local government and its auditor include the scope of the audit.	Yes		Tony Battersby
12	A Reg 7	Did the agreement between the local government and its auditor include a plan for the audit.	Yes		Tony Battersby
13	A 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		Tony Battersby
14	A 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		Tony Battersby



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 was advertised.	Yes		Tony Battersby
2	s5.36(4), 5.37(3), Admin Reg 18A	Were all vacancies for the position of CEO and other designated senior employees advertised and did the advertising comply with s5.36(4), s5.37(3) and Admin Reg 18A.	Yes		Tony Battersby
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).	Yes		Tony Battersby
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		Tony Battersby
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.	N/A	No designated employees were employed or dismissed in 2015.	Tony Battersby

COPY ONLY



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 for the Bunbury Harvey Regional Council.	Tony Battersby
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		Tony Battersby
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		Tony Battersby
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		Tony Battersby
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		Tony Battersby
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		Tony Battersby

Tenders for Providing Goods and Services					
No	Reference	Question	Response	Comments	Respondent
1	s3.57 F&G Reg 11	Did the local government invite tenders on all occasions (before entering into contracts for the supply of goods or services) where the consideration under the contract was, or was expected to be, worth more than the consideration stated in Regulation 11(1) of the Local Government (Functions & General) Regulations (Subject to Functions and General Regulation 11(2)).	Yes		Tony Battersby
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	No multiple contracts were entered into by the Bunbury Harvey Regional Council in 2015.	Tony Battersby
3	F&G Reg 14(1)&(3)	Did the local government invite tenders via Statewide public notice.	Yes		Tony Battersby
4	F&G Reg 14 & 15	Did the local government's advertising and tender documentation comply with F&G Regs 14 & 15.	Yes		Tony Battersby



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.	Yes		Tony Battersby
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		Tony Battersby
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.	Yes		Tony Battersby
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		Tony Battersby
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.	N/A	The Bunbury Harvey Regional Council did not invite prospective tenders to submit an expression of interest in 2015.	Tony Battersby
10	F&G Reg 19	Was each tenderer sent written notice advising particulars of the successful tender or advising that no tender was accepted.	N/A	The Bunbury Harvey Regional Council did not invite prospective tenders to submit an expression of interest in 2015.	Tony Battersby
11	F&G Reg 21 & 22	Did the local governments's advertising and expression of interest documentation comply with the requirements of F&G Regs 21 and 22.	N/A	The Bunbury Harvey Regional Council did not invite prospective tenders to submit an expression of interest in 2015.	Tony Battersby
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	The Bunbury Harvey Regional Council did not invite prospective tenders to submit an expression of interest in 2015.	Tony Battersby
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	The Bunbury Harvey Regional Council did not invite prospective tenders to submit an expression of interest in 2015.	Tony Battersby
14	F&G Reg 24	Was each person who submitted an expression of interest, given a notice in writing in accordance with Functions & General Regulation 24.	N/A	The Bunbury Harvey Regional Council did not invite prospective tenders to submit an expression of interest in 2015.	Tony Battersby



No	Reference	Question	Response	Comments	Respondent
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	The Bunbury Harvey Regional Council did not invite prospective applicants to participate in a pre-qualified suppliers panel in 2015.	Tony Battersby
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	The Bunbury Harvey Regional Council did not invite prospective applicants to participate in a pre-qualified suppliers panel in 2015.	Tony Battersby
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	The Bunbury Harvey Regional Council did not invite prospective applicants to participate in a pre-qualified suppliers panel in 2015.	Tony Battersby
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	The Bunbury Harvey Regional Council did not invite prospective applicants to participate in a pre-qualified suppliers panel in 2015.	Tony Battersby
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	The Bunbury Harvey Regional Council did not invite prospective applicants to participate in a pre-qualified suppliers panel in 2015.	Tony Battersby
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	The Bunbury Harvey Regional Council did not invite prospective applicants to participate in a pre-qualified suppliers panel in 2015.	Tony Battersby
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	The Bunbury Harvey Regional Council did not invite prospective applicants to participate in a pre-qualified suppliers panel in 2015.	Tony Battersby
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	The Bunbury Harvey Regional Council did not invite prospective applicants to participate in a pre-qualified suppliers panel in 2015.	Tony Battersby



No	Reference	Question	Response	Comments	Respondent
23	F&G Reg 24E	Where the local government gave regional price preference in relation to a tender process, did the local government comply with 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	No regional price preference was given in 2015.	Tony Battersby
24	F&G Reg 24F	Did the local government comply with the requirements of F&G Reg 24F in relation to an adopted regional price preference policy.	N/A	No regional price preference was given in 2015.	Tony Battersby
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		Tony Battersby

COPY ONLY