



Joondalup - Compliance Audit Return 2012

| 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 2012. | N/A | Land dispositions being examined by the City during 2012 have values that do not exceed \$10,000,000 or 10% of its operating expenditure - therefore do not require business plans. | Peter McGuckin |
| 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 2012. | N/A | No applicable transactions were initiated in the reporting period. | Peter McGuckin |
| 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 2012. | N/A | See No. 1 above. | Peter McGuckin |
| 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 2012. | N/A | | Peter McGuckin |
| 5 | s3.59(5) | Did the Council, during 2012, resolve to proceed with each major land transaction or trading undertaking by absolute majority. | N/A | See No. 1 above. | Peter McGuckin |

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. | Yes | Item CJ108-06/12 refers. | Peter McGuckin |
| 2 | s5.16, 5.17, 5.18 | Were all delegations to committees in writing. | Yes | The following committees have delegated authority: Art Collection and Advisory Committee; Office Development Committee. | Peter McGuckin |
| 3 | s5.16, 5.17, 5.18 | Were all delegations to committees within the limits specified in section 5.17. | Yes | | Peter McGuckin |
| 4 | s5.16, 5.17, 5.18 | Were all delegations to committees recorded in a register of delegations. | Yes | Refer Register of Delegation of Authority: INT12/102. | Peter McGuckin |
| 5 | s5.18 | Has Council reviewed delegations to its committees in the 2011/2012 financial year. | Yes | Council reviewed delegations 26 June 2012. | Peter McGuckin |
| 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 | Item CJ108-06/12 refers. | Peter McGuckin |



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|----|---------------------------|--|----------|--|----------------|
| 7 | s5.42(1)(2) Admin Reg 18G | Were all delegations to the CEO resolved by an absolute majority. | Yes | Item CJ108-06/12 refers. | Peter McGuckin |
| 8 | s5.42(1)(2) Admin Reg 18G | Were all delegations to the CEO in writing. | Yes | Contained in the minutes of Council's 26 June 2012 meeting and included in the Register of Delegation of Authority. | Peter McGuckin |
| 9 | s5.44(2) | Were all delegations by the CEO to any employee in writing. | Yes | Each employee received a memo informing them of their delegated authority. | Peter McGuckin |
| 10 | s5.45(1)(b) | Were all decisions by the Council to amend or revoke a delegation made by absolute majority. | Yes | Any individual delegations amended were endorsed by an absolute majority at the time the Register of Delegation of Authority was reviewed. | Peter McGuckin |
| 11 | s5.46(1) | Has the CEO kept a register of all delegations made under the Act to him and to other employees. | Yes | Refer Delegation of Authority: INT12/102. | Peter McGuckin |
| 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 2011/2012 financial year. | Yes | CEO reviewed 5 June 2012. Council reviewed 26 June 2012. | Peter McGuckin |
| 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 | When a delegation is exercised there is a written record on file as part of a corporate system of approval or decision making, or within the the City's record keeping system. | Peter McGuckin |

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 | Disclosing members were allowed to participate by the members present at the Council meeting held on 11 December 2012 (Refer Item CJ289-12/12 and resolution C83-12/12). | Peter McGuckin |
| 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 | Refer item CJ289-12/12 - minutes of Ordinary Council meeting held on 11 December 2012. | Peter McGuckin |
| 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 | | Peter McGuckin |



| No | Reference | Question | Response | Comments | Respondent |
|----|--|---|----------|---|----------------|
| 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 | No new Elected Members commenced during the reporting period. | Peter McGuckin |
| 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 | One newly designated employee failed to lodge their Primary Return within three months of their start date. They did however lodge a Primary Return which was received 13 days after the deadline. Additional processes have been established to assist all designated employees to lodge their returns in a timely manner. | Peter McGuckin |
| 6 | s5.76(1) Admin Reg 23 Form 3 | Was an annual return lodged by all continuing elected members by 31 August 2012. | Yes | All 13 Elected Members lodged an Annual Return by 31 August 2012. | Peter McGuckin |
| 7 | s5.76(1) Admin Reg 23 Form 3 | Was an annual return lodged by all designated employees by 31 August 2012. | Yes | All employees required to lodge an Annual Return did so by 31 August 2012. | Peter McGuckin |
| 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 | Refer TRIM containers 07032 and 00493. | Peter McGuckin |
| 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 | Maintained by the Governance Coordinator. | Peter McGuckin |
| 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 | The Register is completed immediately after each meeting. | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |



| No | Reference | Question | Response | Comments | Respondent |
|----|-------------------------|---|----------|----------|----------------|
| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 16 | s5.103(3) Admin Reg 34B | Has the CEO kept a register of all notifiable gifts received by Council members and employees. | Yes | | Peter McGuckin |

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 | A disposal of land to State Government (Dept of Housing) for an amount of \$30,000 was supported by Council at its meeting held 11 December 2012, Item CJ003-02/11 refers. At its meeting held 20 November 2012 Council resolved to dispose of an area of land in Kingsley by private treaty, subject to advertising under section 3.58 (3). This public advertising is yet to take place. | Peter McGuckin |
| 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 | A proposed lease agreement relating to a child care centre in Warwick was advertised in accordance with Section 3.58 (3) for six weeks closing 15 March 2012. | Peter McGuckin |

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. | N/A | No elections were held during the reporting period. | Peter McGuckin |



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. | N/A | Audit Committee established after October 2011 elections and not in this reporting period. | Peter McGuckin |
| 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 power. | Peter McGuckin |
| 3 | s7.3 | Was the person(s) appointed by the local government to be its auditor, a registered company auditor. | Yes | | Peter McGuckin |
| 4 | s7.3 | Was the person(s) appointed by the local government to be its auditor, an approved auditor. | Yes | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 6 | Audit Reg 10 | Was the Auditor's report for the financial year ended 30 June 2012 received by the local government within 30 days of completion of the audit. | Yes | | Peter McGuckin |
| 7 | s7.9(1) | Was the Auditor's report for 2011/2012 received by the local government by 31 December 2012. | Yes | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 11 | Audit Reg 7 | Did the agreement between the local government and its auditor include the objectives of the audit. | Yes | | Peter McGuckin |
| 12 | Audit Reg 7 | Did the agreement between the local government and its auditor include the scope of the audit. | Yes | | Peter McGuckin |



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|----|-------------|---|----------|----------|----------------|
| 13 | Audit Reg 7 | Did the agreement between the local government and its auditor include a plan for the audit. | Yes | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |

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. | N/A | | Peter McGuckin |
| 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 | For the appointment of the Director Infrastructure Services. | Peter McGuckin |
| 3 | s5.37(2) | Did the CEO inform council of each proposal to employ or dismiss a designated senior employee. | Yes | | Peter McGuckin |
| 4 | 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 | | Peter McGuckin |
| 5 | 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 | | Peter McGuckin |



| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |

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 | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 3 | F&G Reg 14(1) | Did the local government invite tenders via Statewide public notice. | Yes | | Peter McGuckin |
| 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 | | Peter McGuckin |



| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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. | Yes | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 10 | 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 | | Peter McGuckin |
| 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. | N/A | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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 | | Peter McGuckin |
| 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). | N/A | | Peter McGuckin |
| 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 | | Peter McGuckin |