



City of Belmont

Attachments

Standing Committee (Audit and Risk) Meeting

**Held
22 February 2016**





Standing Committee (Audit and Risk)

Item 10.1 refers

Attachment 1

**Financial Audit
Invitation to Tender**

1 SPECIFICATION

1.1 Introduction

The City of Belmont (“City”) is seeking a suitably qualified and experienced contractor to provide Audit Services in accordance with Australian Auditing Standards, the *Local Government Act 1995* and regulations under the Act. The City of Belmont may, from time to time, have additional requirements but these will be at the City’s discretion and quoters should not rely on possible additional work.

1.2 Audit Requirements

The provision of audit services will be for the financial years ending:

30 June 2017

30 June 2018 and

30 June 2019

with a 2 year extension option at the sole discretion of the City of Belmont for the financial years ending 30 June 2020 and 30 June 2021.

1.3 Qualifications

The person(s) or organisation chosen to conduct such audits shall be appropriately qualified in accordance with S7.3(3) of the *Local Government Act 1995* and be able to demonstrate relevant experience.

1.4 Audit Timing

There should be a minimum of two audit visits per year. The first of these visits should occur in the third quarter of the financial year and should mainly encompass system compliance, internal controls and the identification of possible risks. The second visit should occur after the close of the financial year and after financial reports have been finalised but in time for review of the audit report and its presentation to the Audit and Risk Committee in late October, Ordinary Council in November and the Annual General Meeting of Electors (generally held early December).

The City of Belmont may, from time to time, require additional audit services the terms of which shall be subject to the Schedule of Rates submitted with this quotation and accepted by the City of Belmont. (It should be noted that the required annual grant/declaration audits are considered to be part of the standard annual audit process.)

While it is understood that an auditor cannot guarantee that the conclusions in the audit report are 100% accurate, it will be expected that these conclusions are based on sound sample evidence and can be deemed to be reasonably accurate and reliable. It is also expected that the audit methodology ensures that any possible material misreporting in the City’s financial reports and all other areas of endeavour are discovered and reported to the City of Belmont’s Mayor and Chief Executive Officer.

1.5 Audit Objective

The auditor is to carry out such work as is necessary to form an opinion as to whether:

- a) the accounts are properly kept; and
- b) the annual financial report:
 - i is prepared in accordance with the financial records; and
 - ii represents fairly the results of the operations of the local government and the financial position of the local government at 30 June in accordance with the Australian Accounting Standards, the *Local Government Act 1995* (as amended), the *Local Government (Financial Management) Regulations 1996* (as amended) and other mandatory professional reporting requirements.

1.6 Audit Methodology and Approach (Scope)

- a) The auditor is required to comply with the requirements of section 7.9 of the *Local Government Act 1995* and the *Local Government (Audit) Regulations 1996*.
- b) An audit is to be carried out in accordance with “Auditing Standards” and “Auditing Guidance Statements” adopted from time to time by the CPA Australia and the Institute of Chartered Accountants in Australia.
- c) The auditor is to provide the City with an Audit Plan which is to include the required method of communication between the City and the auditor.
- d) The auditor is to provide the City with a proposed timetable for the audit including:
 - timing of entrance interview;
 - timing of interim audit visits;
 - final audit visit (within 30 days of being advised that the audit statements are available for audit); and
 - timing of exit interview.
- e) The auditor is required to produce an audit report as required by section 7.9 of the *Local Government Act 1995* and, if considered appropriate by the auditor, a management report that addresses all of the following areas:
 - i Revenue**
 - Rates revenue
 - Government grants
 - User pays revenue
 - Profit on sale of non-current assets
 - Other income
 - Third party revenue collection (eg FESA)
 - ii Expenditure**
 - Salary and wage costs
 - Depreciation
 - Materials and contract expenditure
 - Loss on sale of non-current assets
 - Insurances (including adequacy of cover)
 - Bad debts
 - Other expenditure
 - iii Current Assets**
 - Bank and short-term investments
 - Receivables and prepayments
 - Inventory
 - iv Non-Current Assets**
 - Property, plant, furniture and equipment
 - Infrastructure and depreciation
 - Other receivables
 - v Liabilities (current and non-current)**
 - Creditors and accruals
 - Loan borrowings including new loans raised
 - Provision for employee entitlements
 - vi Reserve Funds**
 - vii Contingent Assets/Liabilities**
 - viii Capital Commitments**
 - ix Accounting Policies and Notes to the Financial Statements**

- x **Cash Flow Statement**
- xi **Any other statutory obligations**

2 GENERAL CONDITIONS OF CONTRACT

2.1 Conditions of Contract

The Contract Conditions governing the contract are the WALGA General Conditions of Contract 0411-11 - Preferred Supplier Panel for Audit Services

2.2 Insurances

Professional Indemnity: \$2,000,000.00
Workers Compensation

2.3 Period of Contract and Termination

The Contract will be in force for the period of three (3) year with the option of a two (2) year extension at the sole discretion of the Principal. However, in the event of the Contractor failing in any manner to carry out the Contract to the Principal's satisfaction, the Principal may forthwith determine the Contract by written notice to the Contractor.

3 SPECIAL CONDITIONS OF CONTRACT

3.1 Invoices

All invoices issued under this Contract are to be valid Tax Invoices within the terms of the *A New Tax System (Goods and Services Tax) Act 1999*. Failure to provide a valid Tax Invoice may result in payments being delayed.

In addition to any requirements for a valid Tax Invoice, all invoices issued under this Contract must clearly show: -

- The name of the City of Belmont;
- The Principal's Purchase Order Number;
- A brief description of the goods or services supplied for each item listed on the invoice;
- For each item, the quantity or the extent of services supplied;
- The price of each item charged and its associated GST; and
- The total GST applicable for the invoice and overall invoice total inclusive of GST.

3.2 Contractor's Obligation to Keep Records

- (a) The Contractor will maintain a record keeping system that meets the minimum compliance requirements of State Records Commission Standard 1 "Government Record Keeping", to the satisfaction of the Principal.
- (b) The Contractor must, at any time when requested by the Principal, provide to the Principal any information relating to the Services in a form directed by the Principal and assistance as the Principal may require to enable it to perform its functions, including its obligations under the *State Records Act 2000* and the *Freedom of Information Act 1992*.
- (c) The Contractor will transfer all records to the Principal at the completion of the contract for ongoing management in accordance with the Principal's Record Keeping Plan.
- (d) Access to the records by the Contractor after the completion of the contract will be in accordance with the *Freedom of Information Act 1992* and the Principal's Policy.
- (e) Members of the public may be permitted to access the records in accordance with the *Freedom of Information Act 1992* and the Principal's Policy.
- (f) The Contractor must not dispose of any records created or collected by the Contractor under this contract without authorisation of the City of Belmont.

3.3 Contract Conditions for Safety Management

3.3.1 General

The Principal is obligated to provide and maintain, so far as is practicable, a working environment for its employees and members of the public, that is safe and without risk to health. As a condition of this Contract, the Principal requires that any Contractors or Sub-Contractors who may be engaged to perform a service on its behalf will at all times exercise all necessary precautions for the health and safety of all persons including Contractor employees, City of Belmont employees or members of the public who may be affected by the services.

3.3.2 Legislative Compliance

The Contractor must comply and ensure that its employees, sub-contractors and agents comply with any Acts, regulations, local laws and by-laws, Codes of Practice and Australian Standards which are in any way applicable to the performance of the services of this contract.

3.3.3 Contractor OS&H Management Systems

The Occupational Safety and Health (OS&H) management system of the Contractor must as a minimum requirement demonstrate compliance with employer/employee

duties specified in (Sections 19, 20 & 21) the *Occupational Safety & Health Act 1984* (as amended).

The Contractor must, when requested by the Principal, submit a copy of its company *Occupational Safety & Health Act 1984* management plan/documentation describing:

- Safety policies and objectives
- Organisation structure & responsibilities
- Safe work practices and procedures (including manual handling procedures)
- Safety training and induction, staff & visitors
- Emergency procedures & control system
- Risk assessment
- Safety auditing and inspection procedures
- Safety consultation procedures
- Safety performance monitoring
- Hazard identification. Reporting and control procedures
- Accident / Incident reporting procedures
- Job Safety Analysis & Management Plan where high risk work is identified

3.3.4 The Rights of the Principal

Under this contract, the Principal will have the right to: -

- (a) Deny entry of the Contractor's drivers or other employees should they be thought to be under the influence of alcohol or other illegal drugs or substances.
- (b) Stop the work at any time, if safe work practices are not being adhered to. (Contractor costs associated with such stoppage will not be borne by the Principal.)
- (c) Have removed from site, any of the Contractor's management/supervisory personnel who the Principal believes is compromising the safe running of the site.
- (d) Audit the Contractor with respect to compliance with safety requirements as specified.

3.3.5 Notification

The Contractor will notify the Principal of all injuries sustained by the Contractor (or their employees) or labour hire employees while on the Principal's work-site.

3.3.6 Safety Orientation Sessions for Contractors Employees

At the discretion of the Principal, the Contractor's employees may be required to attend a 2 hour safety orientation session to discuss the statutory responsibility of the parties to the Contract, key aspects of the Principal's safety management plan and specific hazards associated with the relevant on-site activities.

3.3.7 Discussion of Accident History and Safety Management Plan

The Contractor will ensure that a suitable line management person is available on a monthly basis to discuss the safety management aspects on the job, should the Principal deem it necessary.

3.3.8 Compliance with Relevant Statutes, Australian Standards and Codes of Practice

The Contractor's (and their employees) activities, plant and equipment must comply with the *Occupational Safety and Health Act 1984* and Regulations, the *Environmental Protection Act 1986* and specified Australian Standards. (* Refer to Schedule 1 of the *Occupational Safety and Health Regulations 1996*)

4 SELECTION CRITERIA

4.1 Compliance Criteria

Please select with a yes or no whether you have complied with the following compliance criteria

Description of Compliance Criteria	
(a) Compliance with and completion of the Price Schedule	Yes / No
(b) Compliance with and completion of the Insurance Policy Declaration	Yes / No
(c) Addressed each of the Weighted Criteria detailed below	Yes / No
(d) Provided names and contact details of at least 3 referees	Yes / No
(e) Agrees to co-operate with an independent financial assessor during the conduct of a financial assessment	Yes / No
(f) Compliance with the Specification contained in the Request	Yes / No
(g) Demonstrated possession of all required licences & permits relevant to work	Yes / No

4.2 Weighted Criteria

Before responding to the following qualitative criteria, Respondents must note the following:

- All information relevant to your answers to each criterion are to be contained within your Quotation;
- Respondents are to assume that the Evaluation Panel has no previous knowledge of your organisation, its activities or experience;
- Respondents are to provide full details for any claims, statements or examples used to address the qualitative criteria; and
- Respondents are to address each issue outlined within a qualitative criterion.

The Scores achieved for each criterion are multiplied by the weighting below to achieve a final score out of 100.

	CRITERIA	WEIGHTING
1	Company Profile	20%
2	Experience	20%
3	Company Capacity	20%
4	Methodology	10%
5	Price	30%
	TOTAL	100%

4.2.1 Company Profile

Respondents shall provide, as a minimum, information covering the following:

- (i) Company profile; including but not limited to: corporate organisational structure, core business, years in business;
- (ii) Details of AS/NZS ISO 9001 Quality Management Systems certification and/or company quality system or quality assurance procedures manual;
- (iii) Number of full and part-time employees
- (iv) Demonstrate in sufficient detail that the range of skills and level of expertise within the organisation (and sub-contractors if applicable) is adequate to fully satisfy the scope of service;
- (v) Details of current financial resources including amount of paid up capital and the provision of a bank reference; and
- (vi) Any additional relevant information

Supply any further details in an attachment and label it '**Company Profile**'.

SCORING

MEASUREMENT	SCORE
Company has been providing the product or service as part of its core business for 5 years or more, has AS/NZS ISO 9001 certification and has demonstrated they have the skills, expertise and financial resources to continue providing the product or service. The evaluator is very confident that the supplier has more than the necessary capabilities.	10
As for 10 but either has been providing the product or service for less than 5 years or does not have AS/NZS ISO 9001 certification. The evaluator is quite confident that the supplier has more than the necessary capabilities.	8
As for 10 but has been providing the product or service for less than 5 years and does not have AS/NZS ISO 9001 certification. However, they have demonstrated that they meet the requirements and can comply.	6
As for 10 but has been providing the product or service for less than 5 years and does not have AS/NZS ISO 9001 certification. The evaluator is somewhat confident that the supplier partially complies.	4
Does not meet the requirements except for a few aspects. The evaluator is not very confident that the supplier has the necessary capability.	2
Does not meet the requirements at all or no response has been provided.	0

NB: Scores of 1, 3, 5, 7 and 9 may be used as well as half scores etc. scores e.g. 3.5

Company Profile – Company Details			
Corporate Organisational Structure			
Core Business:			
Years in Business:			
Company Profile – Quality Assurance			
Details of AS/NZS ISO 9001 Quality Management Systems (or other equivalent):			
Certification/Details Attached	Yes / No	Type/Ref:	
Company Profile - Number of Employees			
Full time:	Part time:		
Company Profile – Skills			
Range of skills available to Consultant (and sub-contractors if applicable):			

Company Profile – Financial

Details of current financial resources

Amount of Paid up Capital:

Bank Reference Attached:

Yes / No**Company Profile – Additional Information**

Any other Relevant Company Information:

4.2.2 Experience

Respondents must:

- (i) Demonstrate the relevant experience of the Company by providing details of services provided in the past five years to similar organisations for works of a similar nature by listing the following for each project:
 - Client including a contact name
 - Project title, a description of the service and the value
 - Evidence of thorough familiarity with the provisions of the Local Government Act 1995 and the regulations under that Act which will be considered essential.
- (ii) Names, work experience and proposed responsibilities of key personnel including subcontractors

Supply any further details in an attachment and label it '**Experience**'

SCORING

MEASUREMENT	SCORE
Has demonstrated they have provided products or services of a similar nature to similar organisations and that personnel and subcontractors have the necessary experience required. The evaluator is very confident that the supplier has more than the necessary capabilities.	10
As for 10 but one aspect does not quite meet the requirements. The evaluator is quite confident that the supplier has more than the necessary capabilities.	8
As for 10 but more than one aspect does not quite meet the requirements. However, they have demonstrated that they would be able to provide the product and service.	6
Does not demonstrate that either the company or the personnel have much experience in providing products or services of a similar nature to similar organisations but the evaluator is somewhat confident that the supplier would be able to comply.	4
Does not meet the requirements except for a few aspects. The evaluator is not very confident that the supplier has the necessary capability.	2
Does not meet the requirements at all or no response has been provided.	0

NB: Scores of 1, 3, 5, 7 and 9 may be used as well as half scores etc. scores e.g. 3.5

Relevant Experience – Example Project 1 (Page 1)		
Project Title:		
Project Location:		Within WA – Yes / No
Client:		
Contact:	Name:	Contact Number:
Contract Value:	\$	
Contractor's Role:		
Contract Commencement Date and Current Status		
Project Team – Detail Team Members below		
Name:	Role:	Years Experience:
Detailed Project Description:		

Copy and Repeat these pages for each Project provided (Maximum 2 pages per Project)

4.2.3 Company Capacity

Respondents must **demonstrate** the capacity of the Company to deliver and keep on delivering the requirements of the contract by providing details of:

- (i) Key personnel who will be involved in this contract;
- (ii) The person who will act as the Contractor's Representative during the term of the contract;
- (iii) Proposed subcontractors;
- (iv) Number and details of local government clients;
- (v) Confirmation of the ability to meet the timeframes detailed in the specifications;
- (vi) How they effectively manage industrial relations issues.

Supply any further details in an attachment and label it '**Company Capacity**'

SCORING

MEASUREMENT	SCORE
Company which routinely provides product or service and has demonstrated substantial future capacity to fulfill the requirements of the contract. The evaluator is very confident that the supplier has more than the necessary capacity.	10
Company which routinely provides product or service, has demonstrated adequate future capacity to provide product or service. The evaluator is quite confident that the supplier has more than the necessary capacity.	8
Company which regularly provides product or service and has demonstrated they would be able to meet the requirements.	6
Company which occasionally provides product or service and has demonstrated adequate future capacity to provide product or service. The evaluator is somewhat confident that the supplier would be able to comply.	4
Does not meet the requirements except for a few aspects. The evaluator is not very confident that the supplier has the necessary capability.	2
Does not meet the requirements at all or no response has been provided.	0

NB: Scores of 1, 3, 5, 7 and 9 may be used as well as half scores etc. scores e.g. 3.5

Respondent's Resources – Key Personnel	
Individual's Name:	
Employer:	
Proposed Role:	
Qualifications:	
Experience (of similar projects)	
<p>(A one page Resume can be provided as an attachment but key Experience shall be detailed below) Cross reference the individuals detailed with Criteria (A).</p>	

Copy Page for each Key Team Member proposed.

Respondent's Resources – Primary Contact for Project Duration

Nominated Primary Individual for Contract:

Name:

Contact details:

Respondent's Resources – Subcontractors

Subcontractor's Name:	Works to be subcontracted	Experience with similar projects – please attach details if necessary

Respondent's Resources – Current Local Government Clients

Customer Name	Period of Contract	% of total capacity

Respondent's Resources – Confirmation of ability to meet the timeframes detailed in the specifications

Empty response area for confirmation of ability to meet timeframes.

Respondent's Resources – Demonstration of effective management of Industrial Relations Issues

Empty response area for demonstration of effective management of industrial relations issues.

4.2.4 Methodology

Respondents must demonstrate that they have a plan in place that addresses all elements and timing of the contract by:

- (i) Identifying the critical issues of this contract
- (ii) Outlining the methodology your organisation would employ to address these critical issues
- (iii) A detailed audit plan including the number of audit visits per year, 2 visits being the minimum, with applicable dates and duration of each visit and an estimate of the time to be spent on each audit.
- (iv) Provide evidence of documented data collection and compliance review process.

Supply any further details in an attachment and label it '**Methodology**'.

SCORING

MEASUREMENT	SCORE
Methodology shows a clear appreciation of the required tasks, addresses all project milestones, critical success factors and issues and links to progress payments. Adequate time provided for potential delays. The evaluator is very confident that the supplier has more than the necessary capabilities.	10
Methodology addresses all project milestones, time has been provided for potential delays but there are some minor limitations to the plan The evaluator is quite confident that the supplier has more than the necessary capabilities.	8
Methodology addresses all project milestones but no time provided for potential delays. They have demonstrated that they would be able to provide the product and service.	6
Methodology shows some understanding of the task requirements however not all elements have been identified. The evaluator is somewhat confident that the supplier would be able to comply	4
Methodology does not meet the requirements except for a few aspects. The evaluator is not very confident that the supplier has the necessary capability.	2
Does not meet the requirements at all or no response has been provided.	0

NB: Scores of 1, 3, 5, 7 and 9 may be used as well as half scores etc. scores e.g. 3.5

4.2.5 Price Criteria

Using the average based scoring method, the mean of all tendered prices is calculated and each tendered price is then scored according to its proximity to the average.

Respondents must complete the following Price Schedule. Before completing the Price Schedule, Respondents should ensure that they have read this entire Request.

4.2.5.1 Price Schedule

The prices tendered shall include all delivery charges, custom tariffs, labour and material components. **All rates to be GST exclusive.** The successful contractor will need to detail GST separately on invoice. TAKE NOTE THAT THE PRICES TENDERED WILL BE FIXED FOR THE DURATION OF THE CONTRACT

		GST exclusive amount				
		Year 1	Year 2	Year 3	Year 4	Year 5
1.	Standard Audit Services (per annum)					
2.	Hourly rate for additional work Performed by:					
3.	Hourly rate for additional work Performed by:					
4.	Hourly rate for additional work Performed by:					
5.	Hourly rate for additional work Performed by:					
6.	Hourly rate for additional work Performed by:					
Please attach additional information, explanation of fees, fee breakdowns, etc.						

Quotation submitted by: _____

Signature of Respondent _____ Date _____

Printed Name _____



Standing Committee (Audit and Risk)

Item 11.1 refers

Attachment 2

2015 Compliance Audit Return



Belmont - Compliance Audit Return 2015

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 2015.	N/A	The City did not undertake a major trading in 2015.	Manager Property and Economic Development
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 2015.	N/A	The City did not undertake a major land transaction that was exempt in 2015.	Manager Property and Economic Development
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 2015.	N/A	The City did not enter into a land transaction that was preparatory to entry into a major land transaction 2015.	Manager Property and Economic Development
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	The City did not enter into a land transaction that was preparatory to entry into a major land transaction in 2015.	Manager Property and Economic Development
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	The City did not conduct a major land transaction during 2015.	Manager Property and Economic Development

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	No delegations in place for Committees.	Compliance Administrator
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing.	N/A	No delegation in place for Committees.	Compliance Administrator
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17.	N/A	No delegations in place for Delegations.	Compliance Administrator
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations.	N/A	No delegations in place for Committees.	Compliance Administrator
5	s5.18	Has Council reviewed delegations to its committees in the 2014/2015 financial year.	N/A	No delegations in place for Committees.	Compliance Administrator
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	Evidenced ECM #3198542 Financial Interests Register - Elected Members ECM #3335940.	Compliance Administrator
7	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO resolved by an absolute majority.	Yes	Ordinary Council Meeting 23/06/2015 Item 12.6 ECM #3160643 Delegated Authority Register ECM #3343134.	Compliance Administrator



No	Reference	Question	Response	Comments	Respondent
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing.	Yes	Evidenced ECM #3198817/#3199164 Financial Interests Register - Elected Members ECM #3335940 Financial Interests Register - Designated Employees ECM #3319541.	Compliance Administrator
9	s5.44(2)	Were all delegations by the CEO to any employee in writing.	Yes	Refer to physical Delegated Authority Register located and maintained in the Governance Unit. Delegated Authority Register ECM #3343134 ECM Folder 11/005.	Compliance Administrator
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority.	N/A	No instances occurred.	Compliance Administrator
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 to physical Delegated Authority Register located and maintained in the Governance Unit. Delegated Authority Register ECM #3343134 ECM Folder 11/005.	Compliance Administrator
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	Ordinary Council Meeting 23/06/2015 Item 12.6 ECM #3160643 Delegated Authority Register #3343134.	Compliance Administrator
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	Refer to physical Delegated Authority Register located and maintained in the Governance Unit. Delegated Authority Register ECM #3343134 ECM Folder 11/005.	Compliance Administrator

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 Instances occurred.	Compliance Administrator



No	Reference	Question	Response	Comments	Respondent
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 instances occurred.	Compliance Administrator
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	Evidenced at Ordinary Council Meeting 15/12/2015 Item 12.7 ECM #3337316/#3320880 Evidenced at Ordinary Council Meeting 25/08/2015 Item 14.1 ECM #3221060 /#3204509 Disclosure of Interests Register - Elected Members ECM #3342555 Disclosure of Interest Register - Employees ECM #3279468.	Compliance Administrator
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 were elected from the 2015 Election.	Compliance Administrator
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	Evidenced ECM #3304479 Financial Interests Register - Designated Employees ECM #3319541.	Compliance Administrator
6	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2015.	Yes	Evidenced ECM #3198542 Financial Interests Register - Elected Members ECM #3335940.	Compliance Administrator
7	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2015.	Yes	Evidenced ECM #3198530 Financial Interests Register - Designated Employees ECM #3319541.	Compliance Administrator
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	Evidenced ECM #3198817/#3199164 Financial Interests Register - Elected Members ECM #3335940 Financial Interests Register - Designated Employees ECM #3319541.	Compliance Administrator



No	Reference	Question	Response	Comments	Respondent
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	Physical Register maintained and located within Governance Unit and monitored in the Compliance Calendar Financial Interests Register - Elected Members ECM #3335940 ECM Folder 35/008 Disclosure of Interest Register - Employees ECM #3319541 ECM Folder 107/010.	Compliance Administrator
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	Physical Register maintained and located within the Governance Unit. Disclosure of Interests Register - Elected Members ECM #3342555 ECM Folder 35/008. Disclosure of Interests Register - Employees ECM #3342750 Folder 107/010.	Compliance Administrator
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	Physical Register maintained and located within Governance Unit does not contain returns of employees and Elected Members who have separated from the City. This process is monitored bi - monthly in the Compliance Calendar and through notification from HR at the end of employment of any employee.	Compliance Administrator
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	All returns that have been removed from the Register are maintained by the Records Unit in accordance with the General Disposal Authority for Local Government Records. (To be destroyed 7 years after the employee or Elected Member separates from the organisation).	Compliance Administrator



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.	Yes	Evidenced Ordinary Council Meeting 22/09/2015 Item 10.7 ECM #3247993/#3238307/ Disclosure of Interests Register - Elected Members ECM Folder 35/008.	Compliance Administrator
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	Evidenced Ordinary Council Meeting 25/08/2015 Item 14.1 ECM #3204509 Disclosure of Interests Register - Employees ECM #3342750.	Compliance Administrator
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	Evidenced Ordinary Council Meeting 25/08/2015 Item 14.1 ECM #3204509 Disclosure of Interests Register - Employees ECM #3342750.	Compliance Administrator
16	s5.103(3) Admin Reg 34B	Has the CEO kept a register of all notifiable gifts received by Council members and employees.	Yes	Physical Register maintained and located within Governance Unit. Gift Register - ECM # ECM Folder 11/008 - Gifts Received.	Compliance Administrator

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	The City did not dispose of any property pursuant to Section 3.58(3) during 2015.	Manager Property and Economic Development
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	The City did not dispose of any property pursuant to Section 3.58(3) during 2015.	Manager Property and Economic Development



Elections					
No	Reference	Question	Response	Comments	Respondent
1	Elect Reg 30G (1)	Did the CEO establish and maintain an electoral gift register and ensure that all 'disclosure of gifts' forms completed by candidates and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the candidates.	Yes	A Gift and Hospitality Register was maintained during the election period. ECM Folder 11/008.	Compliance Administrator

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	Special standing Committee (Audit & Risk) 19/10/2015. ECM #3258802.	Manager Finance
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 delegation authority vested in Committees.	Manager Finance
3	s7.3	Was the person(s) appointed by the local government to be its auditor, a registered company auditor.	Yes	Ordinary Council Meeting 24/11/2015 item 12.3 ECM #3314898.	Manager Finance
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.	Yes	Ordinary Council Meeting 24/11/2015 item 12.3 ECM #3314898.	Manager Finance
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	Audit concluded 2/10/2015, Report received 15/10/2015. ECM #3338876.	Manager Finance
6	s7.9(1)	Was the Auditor's report for 2014/2015 received by the local government by 31 December 2015.	Yes	Report received 15/10/2015. ECM #3338877.	Manager Finance
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 matters raised.	Manager Finance
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 matters raised.	Manager Finance



No	Reference	Question	Response	Comments	Respondent
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 matters raised.	Manager Finance
10	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit.	Yes	ECM #2739201.	Manager Finance
11	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit.	Yes	ECM #2739201.	Manager Finance
12	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit.	Yes	ECM #2739201.	Manager Finance
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.	Yes	ECM #2739201.	Manager Finance
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.	Yes	ECM #2739201.	Manager Finance

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	No CEO position advertised.	Human Resources Manager
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.	N/A	No CEO or designated senior employee positions advertised.	Human Resources Manager
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	No CEO position advertised.	Human Resources Manager
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	No CEO position advertised.	Human Resources Manager
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.	N/A	No designated senior employee employed or dismissed.	Human Resources Manager



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	CEO is the Complaints Officer at the City of Belmont.	Compliance Administrator
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	Physical Register maintained and located within Governance Unit. ECM Folder 32/019 - Code of Conduct Register.	Compliance Administrator
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	Physical Register maintained and located within Governance Unit. ECM Folder 32/019 - Code of Conduct Register.	Compliance Administrator
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	Physical Register maintained and located within Governance Unit. ECM Folder 32/019 - Code of Conduct Register.	Compliance Administrator
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	Physical Register maintained and located within Governance Unit. ECM Folder 32/019 - Code of Conduct Register.	Compliance Administrator
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	Physical Register maintained and located within Governance Unit. ECM Folder 32/019 - Code of Conduct Register.	Compliance Administrator

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		Coordinator Contracts and Tenders



No	Reference	Question	Response	Comments	Respondent
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		Coordinator Contracts and Tenders
3	F&G Reg 14(1) & (3)	Did the local government invite tenders via Statewide public notice.	Yes	ECM# 3087169, ECM# 3123170, ECM# 3175130, ECM# 3291366.	Coordinator Contracts and Tenders
4	F&G Reg 14 & 15	Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16.	Yes		Coordinator Contracts and Tenders
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	ECM# 339490, ECM# 3339501, ECM# 3339516.	Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders
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	ECM# 3105906, ECM# 3158103, ECM# 3187341, ECM# 3324962.	Coordinator Contracts and Tenders
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	ECM# 3337512.	Coordinator Contracts and Tenders
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	Successful Letters ECM# 3319985, 3331818, 3335579, 3330933 Unsuccessful Letters ECM# 33319989, 33319988, 33319987, 33319986, 3331815, 3331814, 3331813, 3331812, 3335584, 3335583, 3335582, 3335581, 3335580, 3330912.	Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders



No	Reference	Question	Response	Comments	Respondent
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		Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders
15	F&G Reg 24AD(2)	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice.	No	City of Belmont Policy Manual BXB28 - Purchasing.	Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders



No	Reference	Question	Response	Comments	Respondent
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		Coordinator Contracts and Tenders
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		Coordinator Contracts and Tenders
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	City of Belmont Policy Manual BXB28 - Purchasing.	Coordinator Contracts and Tenders

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