



## Vincent - Compliance Audit Return 2017

### Certified Copy of Return

Please submit a signed copy to the Director General of the Department of Local Government, Sport and Cultural Industries together with a copy of section of relevant minutes.

<b>Commercial Enterprises by Local Governments</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
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 2017.	N/A	No major land transactions or trading undertaken in 2017	Tim Evans - Manager Governance and Risk
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 2017.	N/A	No major land transactions or trading undertaken in 2017	Tim Evans - Manager Governance and Risk
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 2017.	N/A	No major land transactions or trading undertaken in 2017	Tim Evans - Manager Governance and Risk
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 2017.	N/A	No major land transactions or trading undertaken in 2017	Tim Evans - Manager Governance and Risk
5	s3.59(5)	Did the Council, during 2017, resolve to proceed with each major land transaction or trading undertaking by absolute majority.	N/A	No major land transactions or trading undertaken in 2017	Tim Evans - Manager Governance and Risk



<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	No committees have delegations	Emma Simmons - Governance & Council Support Officer
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing.	N/A		Emma Simmons - Governance & Council Support Officer
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17.	N/A		Emma Simmons - Governance & Council Support Officer
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations.	N/A		Emma Simmons - Governance & Council Support Officer
5	s5.18	Has Council reviewed delegations to its committees in the 2016/2017 financial year.	N/A		Emma Simmons - Governance & Council Support Officer
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		Emma Simmons - Governance & Council Support Officer
7	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO resolved by an absolute majority.	Yes		Emma Simmons - Governance & Council Support Officer
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing.	Yes		Emma Simmons - Governance & Council Support Officer
9	s5.44(2)	Were all delegations by the CEO to any employee in writing.	Yes		Emma Simmons - Governance & Council Support Officer
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority.	Yes		Emma Simmons - Governance & Council Support Officer
11	s5.46(1)	Has the CEO kept a register of all delegations made under the Act to him and to other employees.	Yes	EDRMS documents D17/65512 and D17/51624	Emma Simmons - Governance & Council Support Officer
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 2016/2017 financial year.	Yes	See Council item 11.4 of OMC 27 June 2017	Emma Simmons - Governance & Council Support Officer
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	Based on audit sample testing.	Emma Simmons - Governance & Council Support Officer



<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	Noted in relevant minutes.	Emma Simmons - Governance & Council Support Officer
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	Noted in relevant minutes and Register of Interests - D16/43908	Emma Simmons - Governance & Council Support Officer
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	Noted in relevant minutes.	Emma Simmons - Governance & Council Support Officer
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	See register - SC2692	Emma Simmons - Governance & Council Support Officer
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	See register - SC2692	Emma Simmons - Governance & Council Support Officer
6	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2017.	Yes	See register - SC2692	Emma Simmons - Governance & Council Support Officer
7	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2017.	Yes	See register - SC2692	Emma Simmons - Governance & Council Support Officer
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	See register - SC2692	Emma Simmons - Governance & Council Support Officer
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	See register SC2692	Emma Simmons - Governance & Council Support Officer
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	See register SC2692	Emma Simmons - Governance & Council Support Officer
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	Moved from register SC2692 to SC401	Emma Simmons - Governance & Council Support Officer



No	Reference	Question	Response	Comments	Respondent
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	See register - SC401	Emma Simmons - Governance & Council Support Officer
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	Noted in relevant minutes and Register of Interests - Document Reference D16/43908	Emma Simmons - Governance & Council Support Officer
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	Noted in relevant minutes and Register of Interests - Document Reference D16/43908	Emma Simmons - Governance & Council Support Officer
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	Noted in relevant minutes and Register of Interests - Document Reference D16/43908	Emma Simmons - Governance & Council Support Officer
16	s5.103(3) Admin Reg 34B	Has the CEO kept a register of all notifiable gifts received by Council members and employees.	Yes	See register D16/32718	Emma Simmons - Governance & Council Support Officer

### 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		Emma Simmons - Governance & Council Support Officer
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		Emma Simmons - Governance & Council Support Officer

### 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	Extraordinary Election 24 February 2017  Ordinary Election 21 October 2017	Emma Simmons - Governance & Council Support Officer



<b>Finance</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
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 Council Meeting - Item 4.3 - 24 October 2017	Tim Evans - Manager Governance and Risk
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 delegated power	Tim Evans - Manager Governance and Risk
3	s7.3	Was the person(s) appointed by the local government to be its auditor, a registered company auditor.	Yes	David Tomasi, Wen-Shien Chai and Greg Godwin from Moore Stephens	Tim Evans - Manager Governance and Risk
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 - Item 9.5.2 - 4 April 2017	Tim Evans - Manager Governance and Risk
5	Audit Reg 10	Was the Auditor's report for the financial year ended 30 June 2017 received by the local government within 30 days of completion of the audit.	Yes	Report dated 15 November 2017, Received 12 December 2017	Tim Evans - Manager Governance and Risk
6	s7.9(1)	Was the Auditor's report for the financial year ended 30 June 2017 received by the local government by 31 December 2017.	Yes	Ordinary Council Meeting - Item 13.1 - 12 December 2017	Tim Evans - Manager Governance and Risk
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		Tim Evans - Manager Governance and Risk
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		Tim Evans - Manager Governance and Risk
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		Tim Evans - Manager Governance and Risk
10	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit.	Yes	Section 10 of the contract agreement.	Tim Evans - Manager Governance and Risk



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No	Reference	Question	Response	Comments	Respondent
11	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit.	Yes	Section 11 of the contract agreement.	Tim Evans - Manager Governance and Risk
12	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit.	Yes	Section 12 of the contract agreement.	Tim Evans - Manager Governance and Risk
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	Section 5 of the contract agreement.	Tim Evans - Manager Governance and Risk
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	Section 14 of the contract agreement.	Tim Evans - Manager Governance and Risk



<b>Integrated Planning and Reporting</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
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	Council Decision 13.1 OMC 25 July 2017.	Len Kosova - CEO
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.	No		Emma Simmons - Governance & Council Support Officer
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 was adopted at OMC 10 September 2013. A draft revised SCP has been prepared and is scheduled for adoption by mid-2018 to supersede SCP 2013-2023.	Len Kosova - CEO
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.	No		Emma Simmons - Governance & Council Support Officer
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	The City adopted its Asset Management Strategy at OMC 15 December 2009. It is expected that a revised Asset Management Plan will be adopted by mid-2018.	Len Kosova - CEO
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	Council Decision Item 11.6 - 22 August 2017.	Len Kosova - CEO
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	Adopted at OMC 23 April 2013. Preparation of a new Workforce Plan is nearing completion, in accordance with Project 4.5 in the Corporate Business Plan 2017/18 and is scheduled to be adopted by the first quarter of 2018/19.	Len Kosova - CEO



<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.	N/A	CEO role has not been recruited for in 2017	Jackie Donnan - Manager Human Resources
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		Jackie Donnan - Manager Human Resources
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	CEO role has not been recruited for in 2017	Jackie Donnan - Manager Human Resources
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	CEO role has not been recruited for in 2017	Jackie Donnan - Manager Human Resources
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.	Yes		Jackie Donnan - Manager Human Resources





<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		Emma Simmons - Governance & Council Support Officer
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	Yes see register - D16/107330	Emma Simmons - Governance & Council Support Officer
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		Emma Simmons - Governance & Council Support Officer
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		Emma Simmons - Governance & Council Support Officer
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		Emma Simmons - Governance & Council Support Officer
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		Emma Simmons - Governance & Council Support Officer

<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)).	No	The City is aware of one instance where services continued to be provided and paid for after the expiry of the initial contract. The City is now re-tendering for those services.	Tim Evans - Manager Governance and Risk
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.	Yes		Vanisha Govender - Manager Finance Services
3	F&G Reg 14(1) & (3)	Did the local government invite tenders via Statewide public notice.	Yes		Vanisha Govender - Manager Finance Services
4	F&G Reg 14 & 15	Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16.	Yes		Vanisha Govender - Manager Finance Services



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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.	Yes		Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services
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	No late tenders were received in 2017	Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services
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	No EOIs were submitted in 2017	Vanisha Govender - Manager Finance Services
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	No EOIs were submitted in 2017	Vanisha Govender - Manager Finance Services
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	No EOIs were submitted in 2017	Vanisha Govender - Manager Finance Services
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	No EOIs were submitted in 2017	Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services



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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		Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services
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		Vanisha Govender - Manager Finance Services



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

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Signed Mayor / President, Vincent

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Signed CEO, Vincent