



## Vincent - Compliance Audit Return 2019

### 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 2019?	N/A	No major land transactions or trading undertaken in 2019.	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance
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 2019?	N/A	No major land transactions or trading undertaken in 2019.	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance
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 2019?	N/A	No major land transactions or trading undertaken in 2019.	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance
4	s3.59(4)	Has the local government complied with public notice and publishing requirements of each proposal to commence a major trading undertaking or enter into a major land transaction for 2019?	N/A	No major land transactions or trading undertaken in 2019.	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance
5	s3.59(5)	Did the Council, during 2019, resolve to proceed with each major land transaction or trading undertaking by absolute majority?	N/A	No major land transactions or trading undertaken in 2019.	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance

<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?	Yes	At the OMC 25 June 2019 Council approved a new delegation to the City's Audit Committee. This was resolved absolute majority Item 12.5 - D19/92612	Emma Simmons - Governance Projects Officer
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing?	Yes	Provided in the Register of Delegations, Authorisations and Appointments (D19/124523)	Emma Simmons - Governance Projects Officer
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17?	Yes		Emma Simmons - Governance Projects Officer



No	Reference	Question	Response	Comments	Respondent
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations?	Yes	D19/124523	Emma Simmons - Governance Projects Officer
5	s5.18	Has Council reviewed delegations to its committees in the 2018/2019 financial year?	Yes	Note comments in response 1.	Emma Simmons - Governance Projects 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 Projects Officer
7	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO resolved by an absolute majority?	Yes	resolved absolute majority at the OMC 25 June 2019 - Item 12.5 - D19/92612	Emma Simmons - Governance Projects Officer
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing?	Yes	Provided in the Register of Delegations, Authorisations and Appointments (D19/124523)	Emma Simmons - Governance Projects Officer
9	s5.44(2)	Were all delegations by the CEO to any employee in writing?	Yes	Provided in the Register of Delegations, Authorisations and Appointments (D19/124523)	Emma Simmons - Governance Projects Officer
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority?	Yes	at the OMC 17 September 2019 Council revoked delegation 2.1.1 to the audit committee,	Emma Simmons - Governance Projects 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	Register of Delegations, Authorisation and Appointments - D19/124523	Emma Simmons - Governance Projects 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 2018/2019 financial year?	Yes	The review was conducted in March 2019. Presented to Council at the 25 June 2019 OMC.	Emma Simmons - Governance Projects 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	Sample testing of delegation listed in the City's Register of Delegations, Authorisations and Appointments is currently being undertaken	Emma Simmons - Governance Projects Officer

### 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	All disclosure are registered in the Register of Interests Disclosed at Council Meetings (D16/43908) - available on the City's website	Emma Simmons - Governance Projects Officer



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?	Yes	Recorded in OMC minutes 5 March 2019 and "Register of Interests disclosed at Ordinary and Special Council Meetings" (D16/43908).	Emma Simmons - Governance Projects 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	Recorded in relevant minutes and "Register of Interests disclosed at Ordinary and Special Council Meetings" (D16/43908).	Emma Simmons - Governance Projects Officer
4	s5.73	Where the CEO had an interest relating to a gift under section 5.71A(1), was written notice given to the Council?	N/A	No interest disclosed	Emma Simmons - Governance Projects Officer
5	s5.73	Where the CEO had an interest relating to a gift in a matter in respect of a report another employee is providing advice on under section 5.71A (3), was the nature of interest disclosed when the advice or report was provided?	N/A	No interests disclosed	Emma Simmons - Governance Projects Officer
6	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?	No	One of the City's newly elected members did not submit a primary return within 3 months. This was received by administration 11/02/2020.	Emma Simmons - Governance Projects Officer
7	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	Refer to "Primary and Annual Returns Register" (SC2692).	Emma Simmons - Governance Projects Officer
8	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2019?	Yes	Refer to "Primary and Annual Returns Register" (SC2692).	Emma Simmons - Governance Projects Officer
9	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2019?	Yes	Refer to "Primary and Annual Returns Register" (SC2692).	Emma Simmons - Governance Projects Officer
10	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 to "Primary and Annual Returns Register" (SC2692).	Emma Simmons - Governance Projects Officer
11	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	Refer to "Primary and Annual Returns Register" (SC2692).	Emma Simmons - Governance Projects Officer
12	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	All disclosure are registered in the Register of Interests Disclosed at Council Meetings (D16/43908) - available on the City's website	Emma Simmons - Governance Projects Officer
13	s5.89A Admin Reg 28A	Did the CEO keep a register of gifts which contained a record of disclosures made under section 5.71A, in the form prescribed in Administration Regulation 28A?	Yes	Form 4 Regulation 28A D19/183319	Emma Simmons - Governance Projects Officer



No	Reference	Question	Response	Comments	Respondent
14	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	Refer to "Primary and Annual Returns Register" (SC2692). Digital copies moved to SC401-02 and hard copies in Day Box 71.	Emma Simmons - Governance Projects Officer
15	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	Returns are moved from register SC2692 to container SC401-02	Emma Simmons - Governance Projects Officer
16	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	Recorded in the relevant minutes	Emma Simmons - Governance Projects Officer
17	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	Recorded in relevant minutes and "Register of Interests disclosed at Ordinary and Special Council Meetings" (D16/43908).	Emma Simmons - Governance Projects Officer
18	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	Recorded in relevant minutes and "Register of Interests disclosed at Ordinary and Special Council Meetings" (D16/43908).	Emma Simmons - Governance Projects Officer
19	s5.103(3) Admin Reg 34B	Has the CEO kept a register of all notifiable gifts received by Council members and employees?	Yes	Refer to "Register of Gifts" (D16/32718) which is also available on the City's website.	Emma Simmons - Governance Projects 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	No disposition was undertaken that was not exempt under Regulation 30 of the Local Government (Functions and General) Regulations 1996	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance
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	No disposition was undertaken that was not exempt under Regulation 30 of the Local Government (Functions and General) Regulations 1996	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance



<b>Elections</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	Elect Reg 30G (1) (2)	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	D19/138077	Emma Simmons - Governance Projects Officer
2	Elect Reg 30G(3) & (4)	Did the CEO remove any 'disclosure of gifts' forms relating to an unsuccessful candidate or a successful candidate that completed the term of office from the electoral gift register, and retain those forms separately for a period of at least 2 years?	Yes		Emma Simmons - Governance Projects 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	Appointed by absolute majority at the OMC - 12 November 2019 - Item 12.6	Emma Simmons - Governance Projects Officer
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?	Yes	At the OMC 25 June 2019 Council approved a new delegation to the City's Audit Committee. This was resolved absolute majority Item 12.5 - D19/92612	Emma Simmons - Governance Projects Officer
3	s7.3(1)	Was the person(s) appointed by the local government under s7.3(1) to be its auditor, a registered company auditor?	Yes	Moore Stephens were appointed by absolute majority at the OMC - 4 April 2017	Emma Simmons - Governance Projects Officer
4	s7.3(1), 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	Moore Stephens were appointed by absolute majority at the OMC - 4 April 2017	Emma Simmons - Governance Projects Officer
5	Audit Reg 10	Was the Auditor's report(s) for the financial year(s) ended 30 June received by the local government within 30 days of completion of the audit?	Yes		Vanisha Govender - Executive Manager Financial Services
6	s7.9(1)	Was the Auditor's report for the financial year ended 30 June 2019 received by the local government by 31 December 2019?	Yes	Audit report received on the 27/11/2019	Vanisha Govender - Executive Manager Financial Services



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No	Reference	Question	Response	Comments	Respondent
7	S7.12A(3)	Where the local government determined that matters raised in the auditor's report prepared under s7.9 (1) of the Act required action to be taken, did the local government, ensure that appropriate action was undertaken in respect of those matters?	Yes		Vanisha Govender - Executive Manager Financial Services
8	S7.12A (4)	Where the auditor identified matters as significant in the auditor's report (prepared under s7.9(1) of the Act), did the local government prepare a report stating what action had been taken or it intended to take with respect to each of the matters and give a copy to the Minister within 3 months after receipt of the audit report?	No	The City is presenting a report to the Audit Committee at its 3 March meeting to address the actions listed in the auditor's report.	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance
9	S7.12A (5)	Within 14 days after the local government gave a report to the Minister under s7.12A(4)(b), did the CEO publish a copy of the report on the local government's official website?	N/A	The City is presenting a report to the Audit Committee at its 3 March meeting to address the actions listed in the auditor's report.	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance
10	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit?	Yes		Vanisha Govender - Executive Manager Financial Services
11	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit?	Yes		Vanisha Govender - Executive Manager Financial Services
12	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit?	Yes		Vanisha Govender - Executive Manager Financial Services
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		Vanisha Govender - Executive Manager Financial Services
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		Vanisha Govender - Executive Manager Financial Services



<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?	Yes	Corporate Business Plan 2018/19-2021/22 adopted at Ordinary Council Meeting - 26 June 2018.	Emma Simmons - Governance Projects Officer
2	s5.56 Admin Reg 19DA (4)	Has the local government reviewed the Corporate Business Plan in the 2018-2019 Financial Year. If Yes, please provide date of Council meeting the review was adopted at?	Yes	Reviewed at the Ordinary Meeting of Council - 20 August 2019 - Item 12.3	Emma Simmons - Governance Projects Officer
3	s5.56 Admin Reg 19C	Has the local government adopted a Strategic Community Plan. If Yes, please provide adoption date of the most recent Plan in Comments?	Yes	SCP 2018-2028 was adopted at Ordinary Council Meeting - 16 October 2018.	Emma Simmons - Governance Projects Officer
4	s5.56 Admin Reg 19C (4)	Has the local government reviewed the current Strategic Community Plan. If Yes, please provide date of most recent review by Council in Comments.  Note: If the current Strategic Community Plan was adopted after 1/1/2016, please respond N/A and provide adoption date in Comments?	N/A	SCP 2018-2028 was adopted at Ordinary Council Meeting - 16 October 2018.	Emma Simmons - Governance Projects Officer
5	S5.56 Admin Reg 19DA (3)	Has the local government developed an Asset Management Plan(s) that covers all asset classes. If Yes, please provide the date of the most recent Plan adopted by Council in Comments?	Yes	Adopted at Ordinary Council Meeting - 23 April 2013. Currently being reviewed.	Emma Simmons - Governance Projects Officer
6	S5.56 Admin Reg 19DA (3)	Has the local government developed a Long Term Financial Plan. If Yes, please provide the adoption date of the most recent Plan in Comments?	Yes	Adopted at the Ordinary Council Meeting - 26 July 2018	Emma Simmons - Governance Projects Officer
7	S5.56 Admin Reg 19DA (3)	Has the local government developed a Workforce Plan. If Yes, please provide adoption date of the most recent Plan in comments?	Yes	Adopted at Ordinary Council Meeting - 23 April 2013. Currently being reviewed.	Emma Simmons - Governance Projects Officer



<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 Recruitment took place in 2018	Nathan Stokes - Executive 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	New Executive Director Community & Business Services was appointed in December 2019. (10 December 2019 - Confidential Item 17.1)	Nathan Stokes - Executive 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)?	Yes		Nathan Stokes - Executive 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		Nathan Stokes - Executive Manager Human Resources
5	s5.37(2)	Did the CEO inform Council of each proposal to employ or dismiss a designated senior employee?	Yes	Executive Director Corporate Services Exit (30 April 2019 - Confidential Item 18.4) and Executive Director Community & Business Services appointment (10 December 2019 - Item 17.1)	Nathan Stokes - Executive 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	CEO is the complaints officer.	Emma Simmons - Governance Projects 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	See "Register of Complaints Referred to under Local Government Act S5.121" (D16/107330).	Emma Simmons - Governance Projects 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	Information would be collected under the "Details" column.	Emma Simmons - Governance Projects 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	Information would be collected under the "Details" column.	Emma Simmons - Governance Projects 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	Information would be collected under the "Details" column.	Emma Simmons - Governance Projects 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	Information would be collected under the "Details" column.	Emma Simmons - Governance Projects Officer



<b>Optional Questions</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	Financial Management Reg 5 (2)(c)	Did the CEO review the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with Local Government (Financial Management) Regulation 5 (2)(c) within the 3 years prior to 31 December 2019? If yes, please provide date of Council resolution in comments?	No	The City has engaged Stantons International to perform this review between February and June 2020.	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance
2	Audit Reg 17	Did the CEO review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Local Government (Audit) Regulation 17 within the 3 years prior to 31 December 2019? If yes, please provide date of Council resolution in comments?	Yes	Refer Item 5.2 of the Audit Committee Minutes 20 March 2018	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance
3	Financial Management Reg 5A.	Did the local government provide AASB 124 related party information in its annual report(s) tabled at an electors meeting(s) during calendar year 2019?	Yes	As per the 2019 Annual Financial statements	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance
4	S6.4(3)	Did the local government submit to its auditor by 30 September 2019 the balanced accounts and annual financial report for the year ending 30 June 2019?	Yes	Draft 2019 Financials was forwarded to the auditors on the 17.9.2019	Meluka Bancroft - Executive Manager, Corporate Strategy and Governance

<b>Tenders for Providing Goods and Services</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s3.57 F&G Reg 11	Did the local government invite tenders on all occasions (before entering into contracts for the supply of goods or services) where the consideration under the contract was, or was expected to be, worth more than the consideration stated in Regulation 11(1) of the Local Government (Functions & General) Regulations (Subject to Functions and General Regulation 11(2))?	Yes		Jeremy Chalmers Procurement and Contracts Officer
2	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than inviting tenders for a single contract?	N/A	No multiple contracts were entered into.	Jeremy Chalmers Procurement and Contracts Officer
3	F&G Reg 14(1) & (3)	Did the local government invite tenders via Statewide public notice?	Yes	The City invited 10 tenders via Statewide public notice	Jeremy Chalmers Procurement and Contracts Officer



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No	Reference	Question	Response	Comments	Respondent
4	F&G Reg 14 & 15	Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16?	Yes		Jeremy Chalmers Procurement and Contracts Officer
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	Addenda Notices were distributed on TenderLink and emailed to all tenderers who registered tender documents.	Jeremy Chalmers Procurement and Contracts Officer
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	Please refer CM D18/89294	Jeremy Chalmers Procurement and Contracts Officer
7	F&G Reg 18(1)	Did the local government reject the tenders that were not submitted at the place, and within the time specified in the invitation to tender?	Yes		Jeremy Chalmers Procurement and Contracts Officer
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		Jeremy Chalmers Procurement and Contracts Officer
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 and did the CEO make the tenders register available for public inspection?	Yes	An up to date register is available on the City's website.	Jeremy Chalmers Procurement and Contracts Officer
10	F&G Reg 19	Did the CEO give each tenderer written notice advising particulars of the successful tender or advising that no tender was accepted?	Yes	Written notice was issued to all tenderers.	Jeremy Chalmers Procurement and Contracts Officer
11	F&G Reg 21 & 22	Did the local governments advertising and expression of interest documentation comply with the requirements of F&G Regs 21 and 22?	Yes		Jeremy Chalmers Procurement and Contracts Officer
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?	Yes		Jeremy Chalmers Procurement and Contracts Officer
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?	Yes		Jeremy Chalmers Procurement and Contracts Officer
14	F&G Reg 24	Did the CEO give each person who submitted an expression of interest, a notice in writing in accordance with Functions & General Regulation 24?	N/A	EOI currently under evaluation	Jeremy Chalmers Procurement and Contracts Officer
15	F&G Reg 24AC (1) & (2)	Has the local government established a policy on procurement of goods and services from pre-qualified suppliers in accordance with the regulations?	Yes	This information is included in the City's Purchasing Policy no.1.2.3	Jeremy Chalmers Procurement and Contracts Officer



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No	Reference	Question	Response	Comments	Respondent
16	F&G Reg 24AD(2)	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice?	N/A	The City did not request any panel of pre-qualified suppliers in 2019	Jeremy Chalmers Procurement and Contracts Officer
17	F&G Reg 24AD(4) & 24AE	Did the local government's advertising and panel documentation comply with F&G Regs 24AD(4) & 24AE?	N/A	The City did not request any panel of pre-qualified suppliers in 2019	Jeremy Chalmers Procurement and Contracts Officer
18	F&G Reg 24AF	Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of F&G Reg 16 as if the reference in that regulation to a tender were a reference to a panel application?	N/A	The City did not request any panel of pre-qualified suppliers in 2019	Jeremy Chalmers Procurement and Contracts Officer
19	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, given notice of the variation?	N/A	The City did not request any panel of pre-qualified suppliers in 2019	Jeremy Chalmers Procurement and Contracts Officer
20	F&G Reg 24AH(1)	Did the local government reject the applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time specified in the invitation for applications?	N/A	The City did not request any panel of pre-qualified suppliers in 2019	Jeremy Chalmers Procurement and Contracts Officer
21	F&G Reg 24AH(3)	In relation to the applications that were not rejected, did the local government assess which application(s) to accept and which application(s) were most advantageous to the local government to accept, by means of written evaluation criteria?	N/A	The City did not request any panel of pre-qualified suppliers in 2019	Jeremy Chalmers Procurement and Contracts Officer
22	F&G Reg 24AG	Did the information recorded in the local government's tender register about panels of pre-qualified suppliers, comply with the requirements of F&G Reg 24AG?	N/A	The City did not request any panel of pre-qualified suppliers in 2019	Jeremy Chalmers Procurement and Contracts Officer
23	F&G Reg 24AI	Did the CEO send each person who submitted an application, written notice advising if the person's application was accepted and they are to be part of a panel of pre-qualified suppliers, or, that the application was not accepted?	N/A	The City did not request any panel of pre-qualified suppliers in 2019	Jeremy Chalmers Procurement and Contracts Officer
24	F&G Reg 24E	Where the local government gave a regional price preference, did the local government comply with the requirements of F&G Reg 24E including the preparation of a regional price preference policy?	N/A		Jeremy Chalmers Procurement and Contracts Officer
25	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		Jeremy Chalmers Procurement and Contracts Officer



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and Cultural Industries**

No	Reference	Question	Response	Comments	Respondent
26	F&G Reg 11A	Does the local government have a current purchasing policy that comply with F&G Reg 11A(3) 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	Purchasing Policy 1.2.3	Jeremy Chalmers Procurement and Contracts Officer
27	F&G Reg 11A	Did the local government comply with it's current purchasing policy in relation to the supply of goods or services where the consideration under the contract is, or is expected to be \$150,000 or less or worth \$150,000 or less?	Yes		Jeremy Chalmers Procurement and Contracts Officer

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

\_\_\_\_\_  
Signed Mayor / President, Vincent

\_\_\_\_\_  
Signed CEO, Vincent