



## Vincent - Compliance Audit Return 2020

### 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 the 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) F&G Regs 7,9,10	Has the local government prepared a business plan for each major trading undertaking that was not exempt in 2020?	N/A	No major undertakings were undertaken in 2020.	Senior Land and Legal Advisor
2	s3.59(2)(b) F&G Regs 7,8,10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2020?	N/A	No major land transactions for a total value of \$6m or more in 2020.	Senior Land and Legal Advisor
3	s3.59(2)(c) F&G Regs 7,8,10	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 2020?	N/A	As above	Senior Land and Legal Advisor
4	s3.59(4)	Has the local government complied with public notice and publishing requirements for each proposal to commence a major trading undertaking or enter into a major land transaction or a land transaction that is preparatory to a major land transaction for 2020?	N/A	As above.	Senior Land and Legal Advisor
5	s3.59(5)	During 2020, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority?	N/A	As above.	Senior Land and Legal Advisor

<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	Were all delegations to committees resolved by absolute majority?	Yes	Delegation to the COVID Relief and Recovery Committee was resolved by AMV at the Special Council Meeting 30/03/2020 Item 7.2. Ref D20/54046	Governance Projects Officer
2	s5.16	Were all delegations to committees in writing?	Yes	See Register of Delegations, Authorisations & Appointments & Special Council minutes 30/03/2020 - both available the City's website Ref D20/54046&D 20/106872	Governance Projects Officer



Department of  
**Local Government, Sport  
and Cultural Industries**

No	Reference	Question	Response	Comments	Respondent
3	s5.17	Were all delegations to committees within the limits specified in section 5.17?	Yes	See Register of Delegations, Authorisations & Appointments & Special Council minutes 30/03/2020 - both available the City's website Ref D20/54046&D 20/106872	Governance Projects Officer
4	s5.18	Were all delegations to committees recorded in a register of delegations?	Yes	Register of Delegations, Authorisations and Appointments is available as a public document on the City's website. (also ref D20/106872)	Governance Projects Officer
5	s5.18	Has council reviewed delegations to its committees in the 2019/2020 financial year?	Yes	Annual review undertaken by Council see minutes of OMC - 16 June 2020 Item 12.1 - D20/105165	Governance Projects Officer
6	s5.42(1) & s5.43 Admin Reg 18G	Did the powers and duties delegated to the CEO exclude those listed in section 5.43 of the Act?	Yes	See Register of Delegations, Authorisations and Appointments is available as a public document on the City's website. (also ref D20/106872)	Governance Projects Officer
7	s5.42(1)	Were all delegations to the CEO resolved by an absolute majority?	Yes	see minutes of OMC - 16 June 2020 Item 12.1 - D20/105165	Governance Projects Officer
8	s5.42(2)	Were all delegations to the CEO in writing?	Yes	Provided in the Register of Delegations, Authorisations and Appointments	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 & SC279	Governance Projects Officer
10	s5.16(3)(b) & s5.45(1)(b)	Were all decisions by the council to amend or revoke a delegation made by absolute majority?	Yes	Noted in revisions of the Register of Delegations, Authorisations and Appointments	Governance Projects Officer
11	s5.46(1)	Has the CEO kept a register of all delegations made under Division 4 of the Act to the CEO and to employees?	Yes	The Register of Delegations, Authorisations and Appointments is available as a public document on the City's website. (also ref D20/106872)	Governance Projects Officer



No	Reference	Question	Response	Comments	Respondent
12	s5.46(2)	Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2019/2020 financial year?	Yes	Annual review undertaken by administration 23/04/2020 (D20/73371) proposed amendments approved at 16/06/2020 Council Meeting	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 in accordance with Admin Reg 19?	Yes	Compliance checks conducted - Register checked: Senior Shift Ranger - Delegation Item 2.2.5 Towed vehicle spreadsheet D15/56284. Senior Rates Officer - Delegation 2.2.24 Recovery or services charges - stored in customer portals.	Governance Projects Officer

**Disclosure of Interest**

No	Reference	Question	Response	Comments	Respondent
1	s5.67	Where a council member disclosed an interest in a matter and did not have participation approval under sections 5.68 or 5.69, did the council member ensure that they did not remain present to participate in discussion or decision making relating to the matter?	Yes	All disclosures are registered in the Register of Interests Disclosed at Council Meetings (D16/43908) - available on the City's website.	Council Liaison Officer
2	s5.68(2) & s5.69 (5) Admin Reg 21A	Were all decisions regarding participation approval, including the extent of participation allowed and, where relevant, the information required by Admin Reg 21A, recorded in the minutes of the relevant council or committee meeting?	Yes	Recorded in OMC minutes on 17 March 2020 and 16 June 2020 and the Register of Interests Disclosed at Council Meetings (D16/43908) - available on the City's website.	Council Liaison Officer
3	s5.73	Were disclosures under section sections 5.65, 5.70 or 5.71A(3) recorded in the minutes of the meeting at which the disclosures were made?	Yes	Recorded in the relevant minutes and the Register of Interests Disclosed at Council Meetings (D16/43908) - available on the City's website.	Council Liaison Officer
4	s5.75 Admin Reg 22, Form 2	Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day?	Yes	Register of Financial Interest - Primary and Annual Returns - D20/130156.	Governance Projects Officer
5	s5.76 Admin Reg 23, Form 3	Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2020?	Yes	Register of Financial Interest - Primary and Annual Returns - D20/130156.	Governance Projects Officer
6	s5.77	On receipt of a primary or annual return, did the CEO, or the mayor/president, give written acknowledgment of having received the return?	Yes	Register of Financial Interest - Primary and Annual Returns - D20/130156.	Governance Projects Officer



No	Reference	Question	Response	Comments	Respondent
7	s5.88(1) & (2)(a)	Did the CEO keep a register of financial interests which contained the returns lodged under sections 5.75 and 5.76?	Yes	Register of Financial Interest - Primary and Annual Returns - D20/130156.	Governance Projects Officer
8	s5.88(1) & (2)(b) 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, 5.71 and 5.71A, in the form prescribed in Admin Reg 28?	Yes	Register of Interests Disclosed at Council Meetings (D16/43908) - available on the City's website	Governance Projects Officer
9	s5.88(3)	When a person ceased to be a person required to lodge a return under sections 5.75 and 5.76, did the CEO remove from the register all returns relating to that person?	Yes	See D20/130156	Governance Projects Officer
10	s5.88(4)	Have all returns removed from the register in accordance with section 5.88(3) been kept for a period of at least five years after the person who lodged the return(s) ceased to be a person required to lodge a return?	Yes	SC2692	Governance Projects Officer
11	s5.89A(1), (2) & (3) Admin Reg 28A	Did the CEO keep a register of gifts which contained a record of disclosures made under sections 5.87A and 5.87B, in the form prescribed in Admin Reg 28A?	Yes	Register in prescribed Form 4 (r28) is available on the City's website - see Council registers. D19/183319	Council Liaison Officer
12	s5.89A(5) & (5A)	Did the CEO publish an up-to-date version of the gift register on the local government's website?	Yes	Register of Gifts - <a href="https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Council_Registers/Register_of_Gifts_-_from_20_October_2019_-_17_November_2020.pdf">https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Council_Registers/Register_of_Gifts_-_from_20_October_2019_-_17_November_2020.pdf</a>	Council Liaison Officer
13	s5.89A(6)	When a person ceases to be a person who is required to make a disclosure under section 5.87A or 5.87B, did the CEO remove from the register all records relating to that person?	N/A	All recipients have remained in office.	Council Liaison Officer
14	s5.89A(7)	Have copies of all records removed from the register under section 5.89A(6) been kept for a period of at least five years after the person ceases to be a person required to make a disclosure?	N/A	See above	Governance Projects Officer
15	Rules of Conduct Reg 11(1), (2) & (4)	Where a council member had an interest that could, or could reasonably be perceived to, adversely affect the impartiality of the person, did they disclose the interest in accordance with Rules of Conduct Reg 11(2)?	Yes	D16-43908 and on the City's website: <a href="https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Documents/Council/Agendas/2021/D16_43908_Register_of_Interests_disclosed_at_Ordinary_and_Special_Council_Meetings_20_January_2021.pdf">https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Documents/Council/Agendas/2021/D16_43908_Register_of_Interests_disclosed_at_Ordinary_and_Special_Council_Meetings_20_January_2021.pdf</a>	Council Liaison Officer



No	Reference	Question	Response	Comments	Respondent
16	Rules of Conduct Reg 11(6)	Where a council member disclosed an interest under Rules of Conduct Reg 11 (2) was the nature of the interest recorded in the minutes?	Yes	Refer to the minutes which are online. <a href="https://www.vincent.wa.gov.au/council/council-committees/council-meetings/past-and-upcoming-meetings/2021-meetings.aspx">https://www.vincent.wa.gov.au/council/council-committees/council-meetings/past-and-upcoming-meetings/2021-meetings.aspx</a>	Council Liaison Officer
17	s5.70(2) & (3)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report?	Yes	If any potential conflicts of interests arose, they were not involved in the report. The CEO declared conflicts of interest, and he did not approve or review the report. They are recorded on the conflicts of interest register	Council Liaison Officer
18	s5.71A & s5.71B (5)	Where council applied to the Minister to allow the CEO to provide advice or a report to which a disclosure under s5.71A(1) relates, did the application include details of the nature of the interest disclosed and any other information required by the Minister for the purposes of the application?	N/A	Did not occur.	Council Liaison Officer
19	s5.71B(6) & s5.71B(7)	Was any decision made by the Minister under subsection 5.71B(6) recorded in the minutes of the council meeting at which the decision was considered?	N/A	As above	Council Liaison Officer
20	s5.103 Admin Regs 34B & 34C	Has the local government adopted a code of conduct in accordance with Admin Regs 34B and 34C to be observed by council members, committee members and employees?	Yes	Council Meeting 23 March 2021 a new Code of Conduct for Elected Members will be recommended. Current code is <a href="https://www.vincent.wa.gov.au/council/governance/code-of-conduct.aspx">https://www.vincent.wa.gov.au/council/governance/code-of-conduct.aspx</a>	Council Liaison Officer
21	Admin Reg 34B(5)	Has the CEO kept a register of notifiable gifts in accordance with Admin Reg 34B(5)?	Yes	Register of Gifts - <a href="https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Council_Registers/Register_of_Gifts_-_from_20_October_2019_-_17_November_2020.pdf">https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Council_Registers/Register_of_Gifts_-_from_20_October_2019_-_17_November_2020.pdf</a>	Council Liaison Officer

**Disposal of Property**



Department of  
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No	Reference	Question	Response	Comments	Respondent
1	s3.58(3)	Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) (unless section 3.58(5) applies)?	Yes	Unless Regulation 30 of the Local Government (Functions and General) Regulations 1996 applied to exempt a disposition, all property was disposed of by public auction or tender or in accordance with s 3.58 (3) by providing local public notice of the disposition.	Senior Land and Legal Advisor
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?	No	<p>City entered into 14 new leases. 9 were exempt dispositions pursuant to reg 30 LG(F&amp;G Regs). Public notice was provided 4 the four leases that were not exempt dispositions, being:</p> <ul style="list-style-type: none"> <li>• HISP/Beatty Park Café;</li> <li>• Bethanie Group;</li> <li>• Kidz Galore; and</li> <li>• BP Physio.</li> </ul> <p>The exempt dispositions were:</p> <ul style="list-style-type: none"> <li>• Swimming WA;</li> <li>• Town Team Movement;</li> <li>• Tennis West;</li> <li>• Pride WA;</li> <li>• Uni Cricket Club (signage licence);</li> <li>• Floreat Athena Football Club;</li> <li>• Wadjak Northside Aboriginal Community Group;</li> <li>• 152 Joel Terrace – drainage infrastructure licence</li> <li>• Chinta café – licence for permanent umbrellas</li> </ul> <p>The City did not provide public notice of the licence for a permanent alfresco structure within the Grosvenor road reserve to Bonnie Brew Pty Ltd, which was not an exempt disposition. This was due to a verbal valuation indicating that the market value was below the \$5,000 threshold specified in regulation 30(2). A detailed explanation has been included in the report to the City’s Audit Committee.</p>	Senior Land and Legal Advisor



<b>Elections</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	Elect Regs 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 donors 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 forms relating to each candidate?	Yes	Electoral Gift Register 2019 D19/198715	Council Liaison Officer
2	Elect Regs 30G(3) & (4)	Did the CEO remove any disclosure of gifts forms relating to an unsuccessful candidate, or a successful candidate that completed their term of office, from the electoral gift register, and retain those forms separately for a period of at least two years?	Yes	Gift declaration - Adina Lieblich D19/143308 and Gift declaration Joshua O'Keefe D19/138105	Council Liaison Officer
3	Elect Regs 30G(5) & (6)	Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with Elect Reg 30G(6)?	Yes	D19/198715 -Electoral Gift Register - also on website <a href="https://www.vincent.wa.gov.au/council/council-committees/local-government-elections/electoral-gifts.aspx">https://www.vincent.wa.gov.au/council/council-committees/local-government-elections/electoral-gifts.aspx</a>  Advertising period 19 April 2019 – 22 October 2019.	Council Liaison 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?	N/A	The auditor's report was tabled at the 1 December 2020 Audit Committee Meeting. The minutes of that meeting were tabled at the 15 December 2020 Ordinary Council meeting.	Executive Manager Financial Services
2	s7.1B	Where the council delegated to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority?	N/A	No powers have been delegated to the Audit Committee.. See Terms of Reference <a href="https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Documents/Council/Committees/Audit/D20_155335__Audit_Committee_Terms_of_Reference_-_updated_clean_version_for_OMC_on_15_September_2020_DOCX_4_.pdf">https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Documents/Council/Committees/Audit/D20_155335__Audit_Committee_Terms_of_Reference_-_updated_clean_version_for_OMC_on_15_September_2020_DOCX_4_.pdf</a>	Executive Manager Financial Services



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No	Reference	Question	Response	Comments	Respondent
3	s7.3(1) & s7.6(3)	Was the person or persons appointed by the local government to be its auditor appointed by an absolute majority decision of council?	N/A	As per S7.3(1A) a local government cannot appoint a person to be its auditor from 28th October 2017. As of this date Local Government Amendment (Auditing) Act 2017 was proclaimed, giving the Auditor General the mandate to audit Western Australia's 139 local governments and 9 regional councils. OAG is directly auditing the City since 2020 and prior to this the City's audit has been contracted out by OAG to Moore Stephens.	Executive Manager Financial Services
4	s7.3(3)	Was the person(s) appointed by the local government under s7.3(1) to be its auditor a registered company auditor or an approved auditor?	Yes	OAG is auditing the City directly . They are registered auditors.	Executive Manager Financial Services
5	s7.9(1)	Was the auditor's report for the financial year ended 30 June 2020 received by the local government by 31 December 2020?	Yes	Was presented to Council on the 15th December 2020.	Executive Manager Financial Services
6	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	All audit queries have appropriate action items and have been logged onto the City's audit log. The log will be monitored and tracked for Audit Committee.	Executive Manager Financial Services
7	s7.12A(4)(a)	Where matters identified as significant were reported in the auditor's report, did the local government prepare a report that stated what action the local government had taken or intended to take with respect to each of those matters?	Yes	All significant items have a detailed response of what action the City will take.	Executive Manager Financial Services
8	s7.12A(4)(b)	Where the local government was required to prepare a report under s.7.12A(4)(a), was a copy of the report given to the Minister within three months of the audit report being received by the local government?	Yes	The City's Audit report was issued on 8 Dec 2020. A report on the City's significant audit items together with detailed action items was issued to the Minister on 8 March 2021.	Executive Manager Financial Services
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?	Yes	The details were uploaded to the website on by 12 March 2021.	Executive Manager Financial Services





No	Reference	Question	Response	Comments	Respondent
10	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives and scope of the audit, a plan for the audit, details of the remuneration and expenses paid to the auditor, and the method to be used by the local government to communicate with the auditor?	Yes	A detailed scope of works was provided by OAG.	Executive Manager Financial Services
11	Audit Reg 10(1)	Was the auditor's report for the financial year ending 30 June received by the local government within 30 days of completion of the audit?	Yes	The auditor's report was tabled at the 1 December 2020 Audit Committee Meeting. The minutes of that meeting were tabled at the 15 December 2020 Ordinary Council meeting.	Executive Manager Financial Services

### Integrated Planning and Reporting

No	Reference	Question	Response	Comments	Respondent
1	Admin Reg 19C	Has the local government adopted by absolute majority a strategic community plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	Item 13.1 16 October 2018 Ordinary Council Meeting <a href="http://vincent.infocouncil.biz/Open/2018/10/CO_20181016_MIN_3134.PDF">http://vincent.infocouncil.biz/Open/2018/10/CO_20181016_MIN_3134.PDF</a> Carried unanimously by absolute majority.	Council Liaison Officer
2	Admin Reg 19DA (1) & (4)	Has the local government adopted by absolute majority a corporate business plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	Item 12.1 15 September 2020 Ordinary Council Meeting <a href="https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Documents/Council/Agendas/2020/Ordinary_Council_Meeting_Minutes_15_September_2020_FINAL_signed.pdf">https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Documents/Council/Agendas/2020/Ordinary_Council_Meeting_Minutes_15_September_2020_FINAL_signed.pdf</a>  Carried unanimously by absolute majority.	Council Liaison Officer
3	Admin Reg 19DA (2) & (3)	Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)?	Yes	Corporate Business Plan is for 2020/21 - 2023/24 - on our website. <a href="https://www.vincent.wa.gov.au/documents/1541/corporate-business-plan-202021-202324">https://www.vincent.wa.gov.au/documents/1541/corporate-business-plan-202021-202324</a>	Council Liaison 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 a process to be used for the selection and appointment of the CEO before the position of CEO was advertised?	Yes	The CEO was appointed in 2018 in accordance with adopted policies. The CEO recruitment panel was appointed at the 1 May 2018 Council Meeting, and the consultant was appointed at the 29 May 2019 Council Meeting.	Executive Manager Human Resources
2	s5.36(4) & s5.37 (3) Admin Reg 18A	Were all CEO and/or senior employee vacancies advertised in accordance with Admin Reg 18A?	Yes	Executive Director Community & Business Services was appointed in 2020 in accordance with Admin Reg 18A.	Executive Manager Human Resources
3	Admin Reg 18E	Was all information provided in applications for the position of CEO true and accurate?	N/A	The CEO was not appointed in this financial year.	Executive Manager Human Resources
4	Admin Reg 18F	Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position under section 5.36(4)?	N/A	The CEO was not appointed in this financial year.	Executive Manager Human Resources
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss senior employee?	Yes	Yes. Executive Director Community and Business Services was appointed at 10/12/2019 meeting.  <a href="http://vincent.infocouncil.biz/Open/2019/12/CO_20191210_MIN_4226_AT.PDF">http://vincent.infocouncil.biz/Open/2019/12/CO_20191210_MIN_4226_AT.PDF</a>	Executive Manager Human Resources
6	s5.37(2)	Where council rejected a CEO's recommendation to employ or dismiss a senior employee, did it inform the CEO of the reasons for doing so?	N/A	The appointment of the Executive Director Community and Business Services was approved unanimously by Council, see link above.	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	Has the local government designated a senior employee as defined by section 5.37 to be its complaints officer?	Yes	16 February 2021 Ordinary Council Meeting. <a href="https://www.vincent.wa.gov.au/council/council-committees/council-meetings/past-and-upcoming-meetings/2021-meetings.aspx">https://www.vincent.wa.gov.au/council/council-committees/council-meetings/past-and-upcoming-meetings/2021-meetings.aspx</a>	Council Liaison Officer
2	s5.121(1)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that resulted in a finding under section 5.110(2)(a)?	Yes	A register is kept and is available on the City's website:  <a href="https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Council_Registers/D16_107330__Register_Of_Complaints_Referred_To_Under_Local_Government_Act_1995_S5_121.pdf">https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Council_Registers/D16_107330__Register_Of_Complaints_Referred_To_Under_Local_Government_Act_1995_S5_121.pdf</a>	Executive Manager Financial Services
3	s5.121(2)	Does the complaints register include all information required by section 5.121 (2)?	Yes	The complaints register includes columns that meet the requirements, but no complaints have been made.  <a href="https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Council_Registers/D16_107330__Register_Of_Complaints_Referred_To_Under_Local_Government_Act_1995_S5_121.pdf">https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Council_Registers/D16_107330__Register_Of_Complaints_Referred_To_Under_Local_Government_Act_1995_S5_121.pdf</a>	Executive Manager Financial Services
4	s5.121(3)	Has the CEO published an up-to-date version of the register of the complaints on the local government's official website?	Yes	Register is available on the City's website here: <a href="https://www.vincent.wa.gov.au/council/governance/accountability-governance/publicly-available-council-registers.aspx">https://www.vincent.wa.gov.au/council/governance/accountability-governance/publicly-available-council-registers.aspx</a>	Council Liaison Officer

<b>Optional Questions</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>



Department of  
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No	Reference	Question	Response	Comments	Respondent
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 Financial Management Reg 5(2)(c) within the three years prior to 31 December 2020? If yes, please provide the date of council's resolution to accept the report.	Yes	The City engaged Stanton's International to perform this review between February 2020 and June 2020	Governance Projects Officer
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 Audit Reg 17 within the three years prior to 31 December 2020? If yes, please provide date of council's resolution to accept the report.	Yes	Refer Item 5.2 of the Audit Committee Minutes 20 March 2018	Governance Projects Officer
3	s5.87C(2)	Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift?	Yes	The were no gifts received over \$300. It is the City's position that any gift received valued above \$50 is disclosed and included in the City's Register of Gifts. The register is published to the City's website.	Governance Projects Officer
4	s5.87C	Where a disclosure was made under sections 5.87A or 5.87B, did the disclosure include the information required by section 5.87C?	Yes	The were no gifts received over \$300. All gift received valued above \$50 are disclosed and include the information required under section 5.87C.	Governance Projects Officer
5	s5.90A(2)	Did the local government prepare and adopt by absolute majority a policy dealing with the attendance of council members and the CEO at events?	Yes	Council resolved on 17 November 2020 (Item 12.6) to invite public comment on the proposed Event Attendance Policy. Public consultation closed on 15 February 2021. The new policy will be presented to Council in March 2021.	Governance Projects Officer
6	s.5.90A(5)	Did the CEO publish an up-to-date version of the attendance at events policy on the local government's official website?	Yes	Once approved at 23 March Council meeting the new Events Policy will be uploaded to the City's website.	Governance Projects Officer
7	s5.96A(1), (2), (3) & (4)	Did the CEO publish information on the local government's website in accordance with sections 5.96A(1), (2), (3), and (4)?	Yes	Available on the City's website	Governance Projects Officer



No	Reference	Question	Response	Comments	Respondent
8	s5.128(1)	Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members?	Yes	Adopted by Council 16 June 2020 ref D20/105102	Governance Projects Officer
9	s5.127	Did the local government prepare a report on the training completed by council members in the 2019/2020 financial year and publish it on the local government's official website by 31 July 2020?	Yes	Council at its meeting on 28 July 2020 approved publication of the Elected Member Professional Development Register. This register includes training completed in the last financial year in accordance with section 5.127	Governance Projects Officer
10	s6.4(3)	By 30 September 2020, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June 2020?	Yes	Submitted 28 September 2020	Governance Projects Officer

**Tenders for Providing Goods and Services**

No	Reference	Question	Response	Comments	Respondent
1	F&G Reg 11A(1) & (3)	Does the local government have a current purchasing policy that complies 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, \$250,000 or less or worth \$250,000 or less?	Yes	The City of Vincent has a Purchasing Policy that complies with Regulation 11A(3). The City has recently reviewed and updated its Purchasing Policy. The Policy can be found at the following link: <a href="https://www.vincent.wa.gov.au/documents/641/purchasing-policy">https://www.vincent.wa.gov.au/documents/641/purchasing-policy</a>	Procurement and Contracts Officer
2	F&G Reg 11A(1)	Did the local government comply with its current purchasing policy in relation to the supply of goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less?	Yes	The City complied with its previous and current Purchasing Policy for all procurements \$250,000 or less.	Procurement and Contracts Officer
3	s3.57 F&G Reg 11	Subject to F&G Reg 11(2), did the local government invite tenders for all 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 F&G Reg 11(1)?	Yes	All procurements worth above \$250,000 were publically invited as per Regulation 11(1).	Procurement and Contracts Officer
4	F&G Regs 11(1), 12(2), 13, & 14(1), (3), and (4)	When regulations 11(1), 12(2) or 13 required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with F&G Reg 14(3) and (4)?	Yes	All tenders were advertised in the West Australian newspaper, Tenderlink and on the City of Vincent website.	Procurement and Contracts Officer



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No	Reference	Question	Response	Comments	Respondent
5	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than a single contract?	N/A	The City did not split any contracts into 2 or more contracts to avoid the requirements of regulation 11(1) is a significant reason for not dealing with the matter in a single contract.	Procurement and Contracts Officer
6	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	Any variation of information was distributed as an addenda notice to all Tenderers via Tenderlink or emailed directly to tenderers.	Procurement and Contracts Officer
7	F&G Regs 15 & 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of F&G Regs 15 and 16?	Yes	All tenders were advertised for at least 14 days or more as required under Regulation 15. Two officers were present when tenders were opened. Due to COVID-19 the City of Vincent no longer accepts hardcopy tenders. Tenders can only be submitted via Tenderlink.	Procurement and Contracts Officer
8	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of F&G Reg 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website?	Yes	All information recorded in the tender register complied with Regulation 17. The City's tender register is published on the City's official website and is publicly available. The register is saved in Content Manager at D19/184737	Procurement and Contracts Officer
9	F&G Reg 18(1)	Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender?	No	All tender submissions evaluated were submitted at the place and within the time specified in the tender.	Procurement and Contracts Officer
10	F&G Reg 18(4)	Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept?	Yes	All successful tenders were evaluated by an evaluation panel and evaluation reports were created and approved.	Procurement and Contracts Officer
11	F&G Reg 19	Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted?	Yes	The City does not have a panel of pre-qualified suppliers.	Procurement and Contracts Officer
12	F&G Regs 21 & 22	Did the local government's advertising and expression of interest processes comply with the requirements of F&G Regs 21 and 22?	Yes	The City does not have a panel of pre-qualified suppliers.	Procurement and Contracts Officer



No	Reference	Question	Response	Comments	Respondent
13	F&G Reg 23(1) & (2)	Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice?	Yes	The City does not have a panel of pre-qualified suppliers.	Procurement and Contracts Officer
14	F&G Reg 23(3)	Were all expressions of interest that were not rejected assessed by the local government?	N/A	The City did not release any expressions of interest.	Procurement and Contracts Officer
15	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 as an acceptable tenderer?	N/A	The City did not release any expressions of interest.	Procurement and Contracts Officer
16	F&G Reg 24	Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with F&G Reg 24?	N/A	The City did not release any expressions of interest.	Procurement and Contracts Officer
17	F&G Regs 24AD(2) & (4) and 24AE	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with F&G Reg 24AD(4) and 24AE?	N/A	The City does not have a panel of pre-qualified suppliers.	Procurement and Contracts Officer
18	F&G Reg 24AD(6)	If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application notice of the variation?	N/A	The City does not have a panel of pre-qualified suppliers.	Procurement and Contracts Officer
19	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 pre-qualified supplier panel application?	N/A	The City does not have a panel of pre-qualified suppliers.	Procurement and Contracts Officer
20	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 does not have a panel of pre-qualified suppliers.	Procurement and Contracts Officer
21	F&G Reg 24AH(1)	Did the local government reject any 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?	Yes	The City does not have a panel of pre-qualified suppliers.	Procurement and Contracts Officer
22	F&G Reg 24AH(3)	Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept?	Yes	The City does not have a panel of pre-qualified suppliers.	Procurement and Contracts Officer



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23	F&G Reg 24AI	Did the CEO send each applicant written notice advising them of the outcome of their application?	Yes	The City does not have a panel of pre-qualified suppliers.	Procurement and Contracts Officer
24	F&G Regs 24E & 24F	Where the local government gave regional price preference, did the local government comply with the requirements of F&G Regs 24E and 24F?	N/A	No regional price preference was required or used for the assessment of tenders.	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