

12.3 LOCAL GOVERNMENT STATUTORY COMPLIANCE AUDIT RETURN 2021

Attachments: 1. **Compliance Audit Return 2021**

RECOMMENDATION:

That Council:

1. **NOTES** that the City of Vincent's Compliance Audit Return for the period 1 January 2021 to 31 December 2021 was reviewed by the Audit Committee at its 15 February 2022 Meeting;
2. **ADOPTS** the Compliance Audit Return for the period 1 January 2021 to 31 December 2021, at Attachment 1, noting one area of non-compliance reported; and
3. **AUTHORISES** the Compliance Audit Return in Recommendation 1. above to be certified by the Mayor and Chief Executive Officer in accordance with Regulation 15 of the *Local Government (Audit) Regulations 1996*.

PURPOSE OF REPORT:

To adopt the City's Compliance Audit Return (CAR) for 2021.

BACKGROUND:

Section 7.13(1)(i) of the *Local Government Act 1995* (Act) requires local governments to undertake an audit of compliance "in the prescribed manner and in a form approved by the Minister". In accordance with section 7.13(1)(i) of the Act, the Department of Local Government, Sport and Cultural Industries (DLGSC) requires that all local governments complete a CAR by 31 March 2022.

In accordance with Regulation 14(3a) of the *Local Government (Audit) Regulations 1996*, the Audit Committee reviewed the CAR at its meeting held on 15 February 2022 and resolved to recommend to Council that it adopts the CAR, noting the one area of non-compliance reported.

DETAILS:

The 2021 CAR contains the following compliance categories:

- Commercial enterprises by Local Governments;
- Delegation of power/duty;
- Disclosure of interest;
- Disposal of property;
- Elections;
- Finance;
- Integrated planning and reporting;
- Local Government employees;
- Official conduct;
- Tenders for providing goods and services; and
- Optional Questions.

Administration has identified one area of non-compliance, as detailed below:

1. Optional Question 8

Section 6.4(3) of the Act requires local governments to submit to its auditor, by 30 September, the balanced accounts and annual financial report for the preceding financial year.

The portal, used by the Office of the Auditor General (OAG) experienced technical issues and Administration was unable to submit the reports by 30 September 2021.

The OAG agreed to receive the reports within 48 hours, and these were submitted once technical issues had been resolved.

CONSULTATION/ADVERTISING:

Not applicable.

LEGAL/POLICY:

Regulation 14 of the *Local Government (Audit) Regulations 1996* requires that the Audit Committee reviews the completed CAR and reports the results to Council. Following Council's adoption of the CAR, the CAR must be submitted to the Department by 31 March 2022. To achieve this timeframe, it is proposed to table the CAR at the Council Meeting on Tuesday 8 March 2022.

RISK MANAGEMENT IMPLICATIONS

Low: Review of the CAR by the Audit Committee satisfies the legislative requirements and assists the City in identifying areas for improvement in terms of internal controls and legislative compliance.

STRATEGIC IMPLICATIONS:

This is in keeping with the City's *Strategic Community Plan 2018-2028*:

Innovative and Accountable

We are open and accountable to an engaged community.

SUSTAINABILITY IMPLICATIONS:

This does not contribute to any environmental sustainability outcomes.

PUBLIC HEALTH IMPLICATIONS:

This does not contribute to any public health outcomes in the *City's Public Health Plan 2020-2025*.

FINANCIAL/BUDGET IMPLICATIONS:

Nil.

COMMENTS:

Regulation 19 of the *Local Government (Administration) Regulations 1996* requires all persons exercising a delegated power or duty under the Act to keep, on all occasions, a written record containing the following information:

- how the person exercised the power or discharged the duty;
- when the person exercised the power or discharged the duty; and
- the persons or classes of persons, other than council or committee members or employees of the local government, directly affected by the exercise of the power or the discharge of the duty.

In order to provide a considered response to question 13 – delegation of power/duty, Administration has undertaken sample audit testing of the following delegations:

- Exercise of delegation 2.2.21 – Amendment of a rate record; and
- Exercise of delegation 2.4.10 – Infringement Notices – authority to review, amend and withdraw

The outcome of sample testing identified that the exercise of the delegation was, on each occasion, appropriately documented and in accordance with the Act.

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



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Vincent - Compliance Audit Return 2021

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.

Commercial Enterprises by Local Governments					
No	Reference	Question	Response	Comments	Respondent
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 2021?	N/A	No major trading undertaking entered into.	Executive Manager Corporate Strategy and Governance
2	s3.59(2)(b) F&G Regs 7,8A, 8, 10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2021?	N/A	No major trading undertaking entered into.	Executive Manager Corporate Strategy and Governance
3	s3.59(2)(c) F&G Regs 7,8A, 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 2021?	N/A	No major trading undertaking entered into.	Executive Manager Corporate Strategy and Governance
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 2021?	N/A	No major land transaction or major trading undertaking entered into.	Executive Manager Corporate Strategy and Governance
5	s3.59(5)	During 2021, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority?	N/A	No major land transaction or major trading undertaking entered into.	Executive Manager Corporate Strategy and Governance

Delegation of Power/Duty					
No	Reference	Question	Response	Comments	Respondent
1	s5.16	Were all delegations to committees resolved by absolute majority?	Yes	Delegation to the Behaviour Complaints Committee was resolved by AMV at the Ordinary Council Meeting 14/12/2021 - Item 9.15 Ref D21/229940.	Governance Projects Officer
2	s5.16	Were all delegations to committees in writing?	Yes	See Register of Delegations, Authorisations & Appointments and Council Minutes 14/12/2021 - both available the City's website Ref D21/229940 & D21/116714	Governance Projects Officer

1 of 15

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



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 and Council Minutes 14/12/2021 - both available on the City's website Ref D21/229940 & D21/116714	Governance Projects Officer
4	s5.18	Were all delegations to committees recorded in a register of delegations?	Yes	See Register of Delegations, Authorisations & Appointments available as a public document on the City's website.(also ref D21/116714)	Governance Projects Officer
5	s5.18	Has council reviewed delegations to its committees in the 2020/2021 financial year?	Yes	Annual review undertaken by Council see minutes of OMC 22/06/2021 Item 12.5 - available on the City's website (also ref D21/106344)	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 & Appointments available as a public document on the City's website.(also ref D21/116714)	Governance Projects Officer
7	s5.42(1)	Were all delegations to the CEO resolved by an absolute majority?	Yes	See minutes of OMC 22/06/2021 - Item 12.5 - D21/106344 12/10/2021 - Item - 9.6 - D21/180929 14/12/2021 - Item 9.15 - D21/229940 Also available on the City's website	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 available as a public document on the City's website.(also ref D21/116714)	Governance Projects Officer
9	s5.44(2)	Were all delegations by the CEO to any employee in writing?	Yes	Individual Certificates are provided and saved in SC279 Also provided in the Register of Delegations, Authorisations and Appointments available as a public document on the City's website.(also ref D21/116714)	Governance Projects Officer

2 of 15

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



No	Reference	Question	Response	Comments	Respondent
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	All amendments are noted in Revisions at the end 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	See Register of Delegations, Authorisations & Appointments available as a public document on the City's website.(also ref D21/116714)	Governance Projects Officer
12	s5.46(2)	Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2020/2021 financial year?	Yes	Annual review undertaken by administration 22/04/2021 D21/6734, D21/1169263 and D21/116707 proposed amendments approved at 22/06/2021 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	Based on sample audit testing (see SC400)	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	Two request were made and participation approvals / limitations were adhered to. All disclosures are registered in the Register of Interests Disclosed at Council Meetings (D16/43908) - available on the City's website.	Executive Manager Corporate Strategy and Governance
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 the OMC minutes on 23 March 2021 and 14 December 2021 and the Register of Interests Disclosed at Council Meetings (D16/43908) - available on the City's website.	Executive Manager Corporate Strategy and Governance
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.	Executive Manager Corporate Strategy and Governance

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

No	Reference	Question	Response	Comments	Respondent
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. The City also publishes a list of Council Members and Employees (by position) that lodged a primary return and annual return for each financial year. This is available on the Council registers page on the City's website	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 2021?	Yes	Document reference numbers for all returns are available in the 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	Document reference numbers for all acknowledgements are available in the Register of Financial Interest - Primary and Annual Returns D20/130156	Governance Projects Officer
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	See Register of Financial Interest - Primary and Annual Returns - D20/130156. The City also publishes a list of Council Members and Employees (by position) that lodged a primary return and annual return for each financial year. This is available on the Council registers page on the City's website	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 Council registers page 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 Register of Financial Interest - Primary and Annual Returns - 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	These are saved in SC2692	Governance Projects Officer

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



No	Reference	Question	Response	Comments	Respondent
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	https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Council_Registers/Register_of_Gifts_-_from_20_October_2019.pdf	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?	Yes	The register is available on the City's website as above	Governance Projects 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?	Yes	ref SC279	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)?* *Question not applicable after 2 Feb 2021	Yes	https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Council_Registers/Register_of_Interest_disclosed_at_Ordinary_and_Special_Council_Meetings_16_December.pdf	Council Liaison Officer
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	https://www.vincent.wa.gov.au/council/council-committees/council-meetings/past-and-upcoming-meetings/2021-meetings.aspx	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	David MacLennan, CEO declared interest in some items - recorded https://www.vincent.wa.gov.au/Profiles/vincent/Assets/ClientData/Council_Registers/Register_of_Interest_disclosed_at_Ordinary_and_Special_Council_Meetings_16_December.pdf	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	not required	Executive Manager Corporate Strategy and Governance

5 of 15

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



No	Reference	Question	Response	Comments	Respondent
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	not required	Executive Manager Corporate Strategy and Governance
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	The conduct of Council Members, committee members, the CEO, employees and contractors was previously governed by the City's Code of Conduct 2017 (2017 Code).	Governance Projects Officer
		*Question not applicable after 2 Feb 2021			
21	Admin Reg 34B(5)	Has the CEO kept a register of notifiable gifts in accordance with Admin Reg 34B(5)?*	Yes	This is available on the City's website	Executive Manager Corporate Strategy and Governance
		*Question not applicable after 2 Feb 2021			
22	s5.104(1)	Did the local government prepare and adopt, by absolute majority, a code of conduct to be observed by council members, committee members and candidates within 3 months of the prescribed model code of conduct coming into operation (3 February 2021)?	Yes	At the 23 March 2021 Ordinary Meeting of Council a new Code of Conduct to be observed by Council Members, Committee Members and Candidates that incorporates the Model Code was adopted.	Governance Projects Officer
23	s5.104(3) & (4)	Did the local government adopt additional requirements in addition to the model code of conduct? If yes, does it comply with section 5.104(3) and (4)?	Yes	Administration proposed some minor amendments to the Model Code Division 3 (Behaviours) to incorporate behaviours referred to in the 2017 Code. All amendments comply with section 5.104(3) and (4)	Governance Projects Officer
24	s5.104(7)	Did the CEO publish an up-to-date version of the adopted code of conduct on the local government's website?	Yes	This is available on the City's website	Governance Projects Officer
25	s5.51A(1) & (3)	Did the CEO prepare, and implement and publish an up-to-date version on the local government's website, a code of conduct to be observed by employees of the local government?	Yes	A new Employee and Contractor Code of Conduct has been developed and implemented by the CEO. This is available on the City's website	Governance Projects Officer

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

Disposal of Property					
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)?	N/A	The City did not dispose of any property in accordance with section 3.58(3)	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	See above	Executive Manager Corporate Strategy and Governance

Elections					
No	Reference	Question	Response	Comments	Respondent
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	No electoral gifts declared.	Executive Manager Corporate Strategy and Governance
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?	N/A	No electoral gifts declared.	Executive Manager Corporate Strategy and Governance
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)?	N/A	No electoral gifts declared. Register published without entry	Executive Manager Corporate Strategy and Governance

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

Finance					
No	Reference	Question	Response	Comments	Respondent
1	s7.1A	Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Act?	Yes	At the Ordinary Meeting of Council held 16 November 2021 Council appointed its Audit Committee members by absolute majority in accordance with section 7.1A of the Act.	Executive Director, Community & Business 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.	Executive Director, Community & Business Services
3	s7.9(1)	Was the auditor's report for the financial year ended 30 June 2021 received by the local government by 31 December 2021?	Yes	Received at the Ordinary Council Meeting held 14 December 2021.	Executive Director, Community & Business Services
4	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 are monitored and tracked at each Audit Committee	Executive Director, Community & Business Services
5	s7.12A(4)(a) & (4)(b)	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? 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 Minister received a letter from the City on 8 March 2021, which was within 3 months of the audit. In response, the Department advised that the correspondence was an insufficient response. However, the Department noted that the City's 2019/20 audit report referred to the City's management of the same significant matter (Asset Sustainability Ratio) and stated that this would satisfy the requirements of the Act.	Executive Director, Community & Business Services
6	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	A copy of the report was published on the City's website on 1 February 2022.	Executive Manager Financial Services
7	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	Received at the Ordinary Council Meeting held 14 December 2021.	Executive Director, Community & Business Services

8 of 15

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

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	The Strategic Community Plan 2018 - 2028 (SCP) was adopted by AMV at the 16 October 2018 OMC - Item 13.1 - D18/155714. A minor review was undertaken in 2020. The modified SCP was adopted at the 18 August 2020 OMC - Item 9.3 - D20/148041	Governance Projects 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	The Corporate Business Plan 2021/22 -2024/25 was adopted by AMV at the 10 August 2021 OMC - Item 11.5 - D20/148041	Governance Projects Officer
3	Admin Reg 19DA (2) & (3)	Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)?	Yes	The Corporate Business Plan 2021/22 -2024/25 aligns with the legislative requirements	Governance Projects Officer

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

Local Government Employees						
No	Reference	Question	Response	Comments	Respondent	
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?	N/A	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 Corporate Strategy and Governance	
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?	N/A	There were no CEO and/or senior employee vacancies in 2021.	Executive Manager Corporate Strategy and Governance	
3	Admin Reg 18E	Was all information provided in applications for the position of CEO true and accurate?	N/A	There were no CEO and/or senior employee vacancies in 2021.	Executive Manager Corporate Strategy and Governance	
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	There were no CEO and/or senior employee vacancies in 2021.	Executive Manager Corporate Strategy and Governance	
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss senior employee?	N/A	There were no CEO and/or senior employee vacancies in 2021.	Executive Manager Corporate Strategy and Governance	
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	There were no CEO and/or senior employee vacancies in 2021.	Executive Manager Corporate Strategy and Governance	

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

Official Conduct					
No	Reference	Question	Response	Comments	Respondent
1	s5.120	Has the local government designated a senior employee as defined by section 5.37 to be its complaints officer?	Yes	Council appointed the CEO as its complaints officer at the 16 February 2021 OMC - Item 12.4 - D21/24905. At the 14 December 2021 OMC Council delegated by AMV to the Chief Executive Officer the authority to appoint an external Complaints Officer to receive complaints and withdrawal of complaints - Item 9.15 - D21/229940.	Governance Projects Officer
2	s5.121(1) & (2)	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)? Does the complaints register include all information required by section 5.121 (2)?	Yes	No complaints received.	Executive Manager Corporate Strategy and Governance
3	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	This is available on the City's website	Executive Manager Corporate Strategy and Governance

Optional Questions					
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 2021? If yes, please provide the date of council's resolution to accept the report.	Yes	Audit Committee 1/12/2020 Council 15/12/2020	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 Audit Reg 17 within the three years prior to 31 December 2021? If yes, please provide date of council's resolution to accept the report.	Yes	Audit Committee 1/12/2020 Council 15/12/2020	Executive Manager Corporate Strategy and Governance

11 of 15

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



No	Reference	Question	Response	Comments	Respondent
3	s5.87C	Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C?	Yes		Council Liaison Officer
4	s5.90A(2) & (5)	Did the local government prepare, adopt by absolute majority and publish an up-to-date version on the local government's website, a policy dealing with the attendance of council members and the CEO at events?	Yes	The Attendance at Events policy was adopted by Council at the 23 March 2021 OMC - Item 12.1 - D21/49070	Governance Projects Officer
5	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	This information is available on the City's website	Governance Projects Officer
6	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	The Council Members Continuing Professional Development Policy was adopted by Council at the 16 June 2020 OMC - Item 12.3 - D20/105102	Governance Projects Officer
7	s5.127	Did the local government prepare a report on the training completed by council members in the 2020/2021 financial year and publish it on the local government's official website by 31 July 2021?	Yes	The professional development report for the 2020/2021 financial year was noted by Council at the 27 July 2021 OMC - Item 12.1 - D21/1311543. The report is published on the City's website under PUBLICLY AVAILABLE COUNCIL REGISTERS	Governance Projects Officer
8	s6.4(3)	By 30 September 2021, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June 2021?	No	The OAG portal experienced technical issues and the City was unable to complete the submission. The OAG then agreed to receive the information within 48 hours, once technical issues had been resolved.	Executive Director, Community & Business Services
9	s.6.2(3)	When adopting the annual budget, did the local government take into account all its expenditure, revenue and income?	Yes	The City held 6 budget workshops with Council Members, prior to adopting the annual budget on 22 June 2021	Executive Director, Community & Business Services

Tenders for Providing Goods and Services

No	Reference	Question	Response	Comments	Respondent
1	F&G Reg 11A(1) & (3)	Did the local government comply with its current purchasing policy [adopted under F&G Reg 11A(1) & (3)] 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 Purchasing Policy for all procurements valued at \$250,000 or less.	Coordinator Procurement and Contracts

12 of 15

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



No	Reference	Question	Response	Comments	Respondent
2	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 publicly invited as per Regulation 11(1).	Coordinator Procurement and Contracts
3	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.	Coordinator Procurement and Contracts
4	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).	Coordinator Procurement and Contracts
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	Any variation of information was distributed as an addenda notice to all Tenderers via Tenderlink or emailed directly to tenderers.	Coordinator Procurement and Contracts
6	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 City officers were present when tenders were opened.	Coordinator Procurement and Contracts
7	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.	Coordinator Procurement and Contracts
8	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?	Yes	One tender was rejected in accordance with F&G Reg 18(1).	Coordinator Procurement and Contracts
9	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 produced and approved.	Coordinator Procurement and Contracts
10	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	All unsuccessful tender responses were notified of the evaluation outcome via a letter sent by email.	Coordinator Procurement and Contracts

13 of 15

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



No	Reference	Question	Response	Comments	Respondent
11	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 released one expression of interest (EOI). The EOI was advertised above the minimum time allowed under Reg 22 and was advertised in the West Australian newspaper, Tenderlink and on the City of Vincent website.	Coordinator Procurement and Contracts
12	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?	N/A	All EOI responses were submitted at the place and within the time specified in the EOI.	Coordinator Procurement and Contracts
13	F&G Reg 23(3) & (4)	Were all expressions of interest that were not rejected under F&G Reg 23 (1) & (2) assessed by the local government? Did the CEO list each person as an acceptable tenderer?	N/A	The EOI responses are currently under evaluation.	Coordinator Procurement and Contracts
14	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 EOI response are currently under evaluation.	Coordinator Procurement and Contracts
15	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 did not establish any panel of pre-qualified suppliers.	Coordinator Procurement and Contracts
16	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 did not establish any panel of pre-qualified suppliers.	Coordinator Procurement and Contracts
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 pre-qualified supplier panel application?	N/A	The City did not establish any panel of pre-qualified suppliers.	Coordinator Procurement and Contracts
18	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 establish any panel of pre-qualified suppliers.	Coordinator Procurement and Contracts
19	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?	N/A	The City did not establish any panel of pre-qualified suppliers.	Coordinator Procurement and Contracts

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of
Local Government, Sport
and Cultural Industries

No	Reference	Question	Response	Comments	Respondent
20	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?	N/A	The City did not establish any panel of pre-qualified suppliers.	Coordinator Procurement and Contracts
21	F&G Reg 24AI	Did the CEO send each applicant written notice advising them of the outcome of their application?	N/A	The City did not establish any panel of pre-qualified suppliers.	Coordinator Procurement and Contracts
22	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.	Coordinator Procurement and Contracts

I certify this Compliance Audit Return has been adopted by council at its meeting on _____

Signed Mayor/President, Vincent

Signed CEO, Vincent