



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

## **Belmont - Compliance Audit Return 2017**

### **Certified Copy of Return**

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



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

<b>Commercial Enterprises by Local Governments</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s3.59(2)(a)(b)(c) F&G Reg 7,9	Has the local government prepared a business plan for each major trading undertaking in 2017.	N/A	The City did not undertake a major trading undertaking in 2017.	Eleanor Whiteley
2	s3.59(2)(a)(b)(c) F&G Reg 7,10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2017.	Yes	The City prepared a business plan for the major land transaction associated with the proposed lease for the Café within the Faulkner Civic Precinct Community Centre. Belmont City Council approved the advertising of the business plan at the Special Council Meeting (SCM) of 5 October 2017 (Agenda Item 7.1). The business plan was subsequently adopted at the SCM of 22 November 2017 (Agenda Item 6.1). The business plan can be found at ECM Doc No 4410922, Doc Set ID 3617673.	Eleanor Whiteley
3	s3.59(2)(a)(b)(c) F&G Reg 7,10	Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in 2017.	N/A	The City did not enter into a land transaction that was preparatory to entry into a major land transaction in 2017.	Eleanor Whiteley
4	s3.59(4)	Has the local government given Statewide public notice of each proposal to commence a major trading undertaking or enter into a major land transaction for 2017.	Yes	Statewide public notice of the business plan for the major land transaction associated with the proposed lease for the Café within the Faulkner Civic Precinct Community Centre was given on 6 October 2017 (ECM Doc No 4444833, Doc Set ID 3647790).	Eleanor Whiteley
5	s3.59(5)	Did the Council, during 2017, resolve to proceed with each major land transaction or trading undertaking by absolute majority.	Yes	The business plan for the major land transaction associated with the proposed lease for the Café within the Faulkner Civic Precinct Community Centre was adopted, by an absolute majority, at the SCM of 22 November 2017 (Agenda Item 6.1).	Eleanor Whiteley

**Delegation of Power / Duty**

<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
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No	Reference	Question	Response	Comments	Respondent
1	s5.16, 5.17, 5.18	Were all delegations to committees resolved by absolute majority.	N/A	No delegation in place for Committees.	Eleanor Whiteley
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing.	N/A	No delegation in place for Committees.	Eleanor Whiteley
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17.	N/A	No delegation in place for Committees.	Eleanor Whiteley
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations.	N/A	No delegation in place for Committees.	Eleanor Whiteley
5	s5.18	Has Council reviewed delegations to its committees in the 2016/2017 financial year.	Yes	No delegation in place for Committees.	Eleanor Whiteley
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	Ordinary Council Meeting 27.06.2017 Item 12.7 Delegated Authority Register Review 2017-2018 ECM#3003981; ECM# 3016801.	Eleanor Whiteley
7	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO resolved by an absolute majority.	Yes	Ordinary Council Meeting 27.06.2017 Item 12.7 ECM#3003981.	Eleanor Whiteley
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing.	Yes	Ordinary Council Meeting 27.06.2017 Item 12.7 ECM#3003981. Refer to the physical Delegated Authority Register located and maintained in the Governance Unit. Electronic Copy of the Delegated Authority Register ECM #3016801.	Eleanor Whiteley
9	s5.44(2)	Were all delegations by the CEO to any employee in writing.	Yes	Refer to physical Delegated Authority Register located and maintained in the Governance Unit. Delegated Authority Register ECM #3016801 ECM Folder 11/005.	Eleanor Whiteley
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority.	N/A	There have been no decision (s) by Council to amend or revoke a delegation.	Eleanor Whiteley
11	s5.46(1)	Has the CEO kept a register of all delegations made under the Act to him and to other employees.	Yes	Refer to physical Delegated Authority Register located and maintained in the Governance Unit. Delegated Authority Register ECM #3016801 ECM Folder 11/005.	Eleanor Whiteley



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No	Reference	Question	Response	Comments	Respondent
12	s5.46(2)	Were all delegations made under Division 4 of Part 5 of the Act reviewed by the delegator at least once during the 2016/2017 financial year.	Yes	Ordinary Council Meeting 27.06.2017 Item 12.7 Delegated Authority Register Review 2017-2018 ECM#3003981; ECM# 3016801.	Eleanor Whiteley
13	s5.46(3) Admin Reg 19	Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record as required.	Yes	Refer to physical Delegated Authority Register located and maintained in the Governance Unit. Delegated Authority Register ECM #3016801 ECM Folder 11/005.	Eleanor Whiteley

### 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	There were 4 instances of Disclosure of an interest. ECM#3643037 (OCM 12.12.2017 Member left the meeting during voting/discussion) ECM#3056255 (OCM 22.08.2017 Member left the meeting during voting/discussion) ECM#3031948 (OCM 25.07.2017 Member left the meeting during voting/discussion) ECM#3017036 (OCM 26.06.2017 Member left the meeting during voting/discussion).	Eleanor Whiteley
2	s5.68(2)	Were all decisions made under section 5.68(1), and the extent of participation allowed, recorded in the minutes of Council and Committee meetings.	N/A	No instances occurred.	Eleanor Whiteley
3	s5.73	Were disclosures under section 5.65 or 5.70 recorded in the minutes of the meeting at which the disclosure was made.	Yes	Evidenced by Ordinary Council Minutes for 26.06.2017; 25.07.2016; 22.08.2017; 12.12.2017.	Eleanor Whiteley
4	s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly elected members within three months of their start day.	Yes	Election held in 2017. Two new members elected. Primary Return Evidenced ECM#3637565 (Cr Davis). ECM#3665042 (Cr Sekulla).	Eleanor Whiteley



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No	Reference	Question	Response	Comments	Respondent
5	s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly designated employees within three months of their start day.	Yes	ECM Folder 163/001 Disclosures Hold. Physical register maintained and located within the Governance area and monitored by the Compliance Administrator.	Eleanor Whiteley
6	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2017.	Yes	CEO Memo sent to advise all elected member of annual return requirement (ECM#3022008 - all returns received by 31/8/2017. View ECM Folder 163/001 Disclosures Hold. Physical register administered by Compliance Officer and kept in Governance area.	Eleanor Whiteley
7	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2017.	Yes	CEO Memo sent SMG & Designated Officers( ECM#3022010&3022009 ) Evidenced by ECM Folder 163/001 Disclosures Hold. All returns have been received by 31 August 2017. Physical Register administered by Compliance Officer and kept in Governance area.	Eleanor Whiteley
8	s5.77	On receipt of a primary or annual return, did the CEO, (or the Mayor/ President in the case of the CEO's return) on all occasions, give written acknowledgment of having received the return.	Yes	Procedure in receipting primary/ annual returns are outlined in the following documents WI - Manage Primary (Financial) Returns and WI - Manage Annual (Financial Returns). Acknowledgement of receipt memos are recorded on ECM with each completed return found in ECM Folder 163/001 Disclosures Hold.	Eleanor Whiteley



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No	Reference	Question	Response	Comments	Respondent
9	s5.88(1)(2) Admin Reg 28	Did the CEO keep a register of financial interests which contained the returns lodged under section 5.75 and 5.76	Yes	Physical returns files maintained by Compliance Administrator and located within the Governance area. Electronic Register (ECM Folder 164/001 Document ID #3661806 Financial Interests Primary & Annual Register.	Eleanor Whiteley
10	s5.88(1)(2) Admin Reg 28	Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70 and 5.71, in the form prescribed in Administration Regulation 28.	Yes	Procedure in declaring and recording disclosures made under sections 5.65, 5.70 and 5.71 is outlined in WI - Disclosures of Interest That May Cause Conflict. Physical register is also located in the Governance Unit and is maintained by the Compliance Administrator. The current Disclosure of Interests form used by the City is deemed compliant with that prescribed Administration Regulation 28.	Eleanor Whiteley
11	s5.88 (3)	Has the CEO removed all returns from the register when a person ceased to be a person required to lodge a return under section 5.75 or 5.76.	Yes	Physical Register maintained and located within Governance Unit does not contain returns of employees and Elected Members who have left the City. This process is monitored bi-monthly in the Compliance Calendar and through notification from HR at the end of employment of any employee.	Eleanor Whiteley
12	s5.88(4)	Have all returns lodged under section 5.75 or 5.76 and removed from the register, been kept for a period of at least five years, after the person who lodged the return ceased to be a council member or designated employee.	Yes	All returns that have been removed from the Register are maintained by the Records Unit in accordance with the General Disposal Authority for Local Government Records. (To be destroyed 7 years after the employee or Elected Member separates from the organisation). Electronic versions are moved to ECM Folder 163/002 Expired Disclosures.	Eleanor Whiteley



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No	Reference	Question	Response	Comments	Respondent
13	s5.103 Admin Reg 34C & Rules of Conduct Reg 11	Where an elected member or an employee disclosed an interest in a matter discussed at a Council or committee meeting where there was a reasonable belief that the impartiality of the person having the interest would be adversely affected, was it recorded in the minutes.	Yes	The following meeting templates contain an Item 3.2 Disclosure of Interest that may affect impartiality ensure that disclosures of impartiality are recorded in the minutes: <ul style="list-style-type: none"> <li>- OCM Agenda Template (ECM#1863345)</li> <li>- Standing Committee (Community Vision) (ECM#2088347)</li> <li>- Standing Committee (Environmental)(ECM#2088348)</li> <li>- Standing Committee (Audit and Risk) ECM#2088346).</li> <li>- Agenda Briefing Forum (ECM#1337474).</li> </ul> Individual disclosures are electronically available in ECM Folder 163/001 Disclosures Hold. Register is ECM Folder 164/001.	Eleanor Whiteley
14	s5.70(2)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to the Council or a Committee, did that person disclose the nature of that interest when giving the advice or report.	N/A	No instances occurred. Disclosures are located on ECM Folder 163/001. It is standard in report Templates eg OCM Report Template (ECM#2056692) to include "Disclosure of Any Interest" which prompts officers to declare any interests that may affect their report.	Eleanor Whiteley
15	s5.70(3)	Where an employee disclosed an interest under s5.70(2), did that person also disclose the extent of that interest when required to do so by the Council or a Committee.	N/A	No instances occurred. Disclosures are located on ECM Folder 163/001. It is standard in report Templates eg OCM Report Template (ECM#2056692) to include "Disclosure of Any Interest" which prompts officers to declare any interests that may affect their report.	Eleanor Whiteley



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No	Reference	Question	Response	Comments	Respondent
16	s5.103(3) Admin Reg 34B	Has the CEO kept a register of all notifiable gifts received by Council members and employees.	Yes	The CEO keeps physical copies of gift & hospitality declarations for Council members and employees in the Governance area. The following electronic registers are maintained: -Register of Gifts & Hospitality (ECM#2991977); Contribution to Travel (ECM#2991977). ECM Folder 164/002. The Registers are also available on the City's website under Council/Public Registers. All notifications of gifts/hospitality /contributions to travel are recorded on ECM Folder 163/003 Gift & Hospitality Disclosures Hold.	Eleanor Whiteley

### Disposal of Property

No	Reference	Question	Response	Comments	Respondent
1	s3.58(3)	Was local public notice given prior to disposal for any property not disposed of by public auction or tender (except where excluded by Section 3.58(5)).	N/A	The City did not dispose of any property pursuant to Section3.58(3) during 2017.	Eleanor Whiteley
2	s3.58(4)	Where the local government disposed of property under section 3.58(3), did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property.	N/A	The City did not dispose of any property pursuant to Section3.58(3) during 2017.	Eleanor Whiteley

### Elections

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

### Finance

No	Reference	Question	Response	Comments	Respondent
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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	SCM 23/10/2017 ECM Doc Set ID 3608175.	Eleanor Whiteley
2	s7.1B	Where a local government determined to delegate to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority.	N/A	No delegation vested in Committees.	Eleanor Whiteley
3	s7.3	Was the person(s) appointed by the local government to be its auditor, a registered company auditor.	N/A	No appointment during 2017 as the auditor is now the Office of the Auditor General as appointed through an amendment to the Financial Management Reg's.	Eleanor Whiteley
4	s7.3, 7.6(3)	Was the person or persons appointed by the local government to be its auditor, appointed by an absolute majority decision of Council.	N/A	No appointment during 2017 as the auditor is now the Office of the Auditor General as appointed through an amendment to the Financial Management Reg's.	Eleanor Whiteley
5	Audit Reg 10	Was the Auditor's report for the financial year ended 30 June 2017 received by the local government within 30 days of completion of the audit.	Yes	Audit concluded 9/10/17, report received 16/10/17, Doc Set ID 3101929.	Eleanor Whiteley
6	s7.9(1)	Was the Auditor's report for the financial year ended 30 June 2017 received by the local government by 31 December 2017.	Yes	Audit concluded 9/10/17, report received 16/10/17, Doc Set ID 3101929.	Eleanor Whiteley
7	S7.12A(3)	Where the local government determined that matters raised in the auditor's report prepared under s7.9 (1) of the Act required action to be taken by the local government, was that action undertaken.	N/A	No matters raised.	Eleanor Whiteley
8	S7.12A (4)	Where the local government determined that matters raised in the auditor's report (prepared under s7.9 (1) of the Act) required action to be taken by the local government, was a report prepared on any actions undertaken.	N/A	No matters raised.	Eleanor Whiteley
9	S7.12A (4)	Where the local government determined that matters raised in the auditor's report (prepared under s7.9 (1) of the Act) required action to be taken by the local government, was a copy of the report forwarded to the Minister by the end of the financial year or 6 months after the last report prepared under s7.9 was received by the local government whichever was the latest in time.	N/A	No matters raised.	Eleanor Whiteley



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No	Reference	Question	Response	Comments	Respondent
10	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit.	Yes	Doc Set ID 2902625.	Eleanor Whiteley
11	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit.	Yes	Doc Set ID 2902625.	Eleanor Whiteley
12	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit.	Yes	Doc Set ID 2902625.	Eleanor Whiteley
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	Doc Set ID 2902625.	Eleanor Whiteley
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	Doc Set ID 2902625.	Eleanor Whiteley

### Integrated Planning and Reporting

No	Reference	Question	Response	Comments	Respondent
1	s5.56 Admin Reg 19DA (6)	Has the local government adopted a Corporate Business Plan. If Yes, please provide adoption date of the most recent Plan in Comments. This question is optional, answer N/A if you choose not to respond.	Yes	Corporate Business Plan 2017-2021 Adopted at OCM 28.2.2017 Item 12.7 ECM#2928204.	Eleanor Whiteley
2	s5.56 Admin Reg 19DA (6)	Has the local government adopted a modification to the most recent Corporate Business Plan. If Yes, please provide adoption date in Comments. This question is optional, answer N/A if you choose not to respond.	Yes	OCM 28.2.2017 Item 12.7 ECM#2928204.	Eleanor Whiteley
3	s5.56 Admin Reg 19C (7)	Has the local government adopted a Strategic Community Plan. If Yes, please provide adoption date of the most recent Plan in Comments. This question is optional, answer N/A if you choose not to respond.	Yes	Strategic Community Plan 2016-2036 OCM 15.12.2015 ECM#2659770.	Eleanor Whiteley
4	s5.56 Admin Reg 19C (7)	Has the local government adopted a modification to the most recent Strategic Community Plan. If Yes, please provide adoption date in Comments. This question is optional, answer N/A if you choose not to respond.	Yes	OCM 15.12.2015 ECM#2659770.	Eleanor Whiteley



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No	Reference	Question	Response	Comments	Respondent
5	S5.56	Has the local government adopted an Asset Management Plan. If Yes, in Comments please provide date of the most recent Plan, plus if adopted or endorsed by Council the date of adoption or endorsement. This question is optional, answer N/A if you choose not to respond.	Yes	ECM Folder 141/002 Asset Management Plans: ~Drainage Asset Management Plan ECM#3010257 08.12.16 ~Asset Management Plan - Street Infrastructurev2016 ECM# 3010205 December 2016 ~Asset Management Plan -Roads v 2016 ECM#3010114 December 2016 ~Paths Asset Management Plan v2016 ECM#3010113 09.12.2016 ~Land Asset Management Plan v2016 ECM#3010171 20.12.2016 ~Asset Management Plan Facilities, Structures & Equipment v2016 ECM#3010130 30.11.2016 ~Asset Management Plan Fleet & Plant v2016 ECM#3009827 December2016 The Asset Management Plans have not been formally adopted by Council.	Eleanor Whiteley
6	S5.56	Has the local government adopted a Long Term Financial Plan. If Yes, in Comments please provide date of the most recent Plan, plus if adopted or endorsed by Council the date of adoption or endorsement. This question is optional, answer N/A if you choose not to respond.	Yes	Long Term Financial Plan 2018-2027 adopted 28.2.2017. Concise version of the LTFP is adopted as part of the Corporate Business Plan.	Eleanor Whiteley
7	S5.56	Has the local government adopted a Workforce Plan. If Yes, in Comments please provide date of the most recent Plan plus if adopted or endorsed by Council the date of adoption or endorsement. This question is optional, answer N/A if you choose not to respond.	Yes	Approved by Senior Management Group. Due for review in 2018.	Eleanor Whiteley



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<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.	Yes	OCM 27 September 2016: Item 14.3. Staff Matter - Chief Executive Officer Recruitment and Selection Process - Confidential Matter in Accordance with the Local Government Act 1995 section 5.23(2)(A)(B)(C)(E) ECM Doc Set ID 2841227.	Eleanor Whiteley
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	Advertised The West Australian 20-21 May 2017. ECM Folder 12/002 ECM Doc Set ID 2987391; Local Govt Job Directory 22/05/17& SEEK website 19/05/17.	Eleanor Whiteley
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	Refer to Special Council Meeting 09.08.2017 ECM# 3055627 Confidential Attachment.	Eleanor Whiteley
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).	Yes	Refer to Special Council Meeting 09.08.2017 ECM# 3055627 Confidential Attachment.	Eleanor Whiteley
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.	N/A	No designated senior employee employed or dismissed.	Eleanor Whiteley



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<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 at the City of Belmont.	Eleanor Whiteley
2	s5.121(1)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that result in action under s5.110(6)(b) or (c).	Yes	Physical Register maintained and located within Governance Unit. ECM Folder 32/019 - Code of Conduct Register.	Eleanor Whiteley
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	This is covered by the Complaint Officers Details Form on the City's document control register (Belnet). Physical Register maintained and located within Governance Unit. ECM Folder 32/019 - Code of Conduct Register.	Eleanor Whiteley
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	This is covered by the Complainant Details Form on the City's document control register (Belnet). Physical Register maintained and located within Governance Unit. ECM Folder 32/019 - Code of Conduct Register.	Eleanor Whiteley
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	This is covered by the Complaint of Minor Breach Form on the City's document control register (Belnet). Physical Register maintained and located within Governance Unit. ECM Folder 32/019 - Code of Conduct Register.	Eleanor Whiteley
6	s5.121(2)(d)	Does the complaints register maintained by the complaints officer include the provision to record details of the action taken under s5.110(6)(b) or (c).	Yes	Physical Register maintained and located within Governance Unit. ECM Folder 32/019 - Code of Conduct Register.	Eleanor Whiteley

**Tenders for Providing Goods and Services**

<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
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No	Reference	Question	Response	Comments	Respondent
1	s3.57 F&G Reg 11	Did the local government invite tenders on all occasions (before entering into contracts for the supply of goods or services) where the consideration under the contract was, or was expected to be, worth more than the consideration stated in Regulation 11(1) of the Local Government (Functions & General) Regulations (Subject to Functions and General Regulation 11(2)).	Yes	See ECM Folder 114/2017.	Eleanor Whiteley
2	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than inviting tenders for a single contract.	Yes	See ECM Folder 114/2017.	Eleanor Whiteley
3	F&G Reg 14(1) & (3)	Did the local government invite tenders via Statewide public notice.	Yes	ECM# 2962482, 3017570, 3042183.	Eleanor Whiteley
4	F&G Reg 14 & 15	Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16.	Yes	See ECM Folder 114/2017.	Eleanor Whiteley
5	F&G Reg 14(5)	If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer, notice of the variation.	Yes	ECM# 3052825,3065398.	Eleanor Whiteley
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		Eleanor Whiteley
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	ECM# 3637702, 3637712.	Eleanor Whiteley
8	F&G Reg 18 (4)	In relation to the tenders that were not rejected, did the local government assess which tender to accept and which tender was most advantageous to the local government to accept, by means of written evaluation criteria.	Yes	ECM# 2979010, 3044930, 3630314.	Eleanor Whiteley
9	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of F&G Reg 17.	Yes	ECM# 2897638.	Eleanor Whiteley
10	F&G Reg 19	Was each tenderer sent written notice advising particulars of the successful tender or advising that no tender was accepted.	Yes	Successful Letters ECM# 2989532, 3052835, 3653593 Unsuccessful Letters ECM# 2989535, 3052832, 3653152.	Eleanor Whiteley
11	F&G Reg 21 & 22	Did the local governments's advertising and expression of interest documentation comply with the requirements of F&G Regs 21 and 22.	Yes	ECM# 2974668.	Eleanor Whiteley



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No	Reference	Question	Response	Comments	Respondent
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	ECM# 2983082.	Eleanor Whiteley
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	ECM# 2998947.	Eleanor Whiteley
14	F&G Reg 24	Was each person who submitted an expression of interest, given a notice in writing in accordance with Functions & General Regulation 24.	Yes	ECM# 3005034, 3005025, 3005026, 3005027, 3005028, 3005020, 3005021, 3005022, 3005024, 3005019.	Eleanor Whiteley
15	F&G Reg 24AD(2)	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice.	N/A	City of Belmont does not use panel contracts.	Eleanor Whiteley
16	F&G Reg 24AD(4) & 24AE	Did the local government's advertising and panel documentation comply with F&G Regs 24AD(4) & 24AE.	N/A		Eleanor Whiteley
17	F&G Reg 24AF	Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of F&G Reg 16 as if the reference in that regulation to a tender were a reference to a panel application.	N/A		Eleanor Whiteley
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		Eleanor Whiteley
19	F&G Reg 24AH(1)	Did the local government reject the applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time specified in the invitation for applications.	N/A		Eleanor Whiteley
20	F&G Reg 24AH(3)	In relation to the applications that were not rejected, did the local government assess which application(s) to accept and which application(s) were most advantageous to the local government to accept, by means of written evaluation criteria.	N/A		Eleanor Whiteley
21	F&G Reg 24AG	Did the information recorded in the local government's tender register about panels of pre-qualified suppliers, comply with the requirements of F&G Reg 24AG.	N/A		Eleanor Whiteley



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

No	Reference	Question	Response	Comments	Respondent
22	F&G Reg 24AI	Did the local government send each person who submitted an application, written notice advising if the person's application was accepted and they are to be part of a panel of pre-qualified suppliers, or, that the application was not accepted.	N/A		Eleanor Whiteley
23	F&G Reg 24E	Where the local government gave a regional price preference in relation to a tender process, did the local government comply with the requirements of F&G Reg 24E in relation to the preparation of a regional price preference policy (only if a policy had not been previously adopted by Council).	N/A		Eleanor Whiteley
24	F&G Reg 24F	Did the local government comply with the requirements of F&G Reg 24F in relation to an adopted regional price preference policy.	N/A		Eleanor Whiteley
25	F&G Reg 11A	Does the local government have a current purchasing policy in relation to contracts for other persons to supply goods or services where the consideration under the contract is, or is expected to be, \$150,000 or less.	Yes	City of Belmont Policy Manual BEXB28 - Purchasing.	Eleanor Whiteley

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

\_\_\_\_\_  
Signed Mayor / President, Belmont

\_\_\_\_\_  
Signed CEO, Belmont