



Joondalup - 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?	Yes	At its meeting held on 18 May 2021 (item CJ060-05/21 refers) for the proposed disposal of lots 1029 and 1032 Ocean Reef.	Peter McGuckin
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?	Yes	At its meeting held on 18 May 2021 (item CJ060-05/21 refers) for the proposed disposal of lots 1029 and 1032 Ocean Reef.	Peter McGuckin
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?	Yes	At its meeting held on 18 May 2021 (item CJ060-05/21 refers) for the proposed disposal of lots 1029 and 1032 Ocean Reef.	Peter McGuckin
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?	Yes	At its meeting held on 18 May 2021 (item CJ060-05/21 refers) for the proposed disposal of lots 1029 and 1032 Ocean Reef.	Peter McGuckin
5	s3.59(5)	During 2021, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority?	Yes	At its meeting held on 16 February 2021 (item CJ019-02/21 refers) for approval of the Ocean Reef Marina Business Plan.	Peter McGuckin

Delegation of Power/Duty					
No	Reference	Question	Response	Comments	Respondent
1	s5.16	Were all delegations to committees resolved by absolute majority?	N/A	No Delegations were made to committees.	Peter McGuckin
2	s5.16	Were all delegations to committees in writing?	N/A	No Delegations were made to committees.	Peter McGuckin
3	s5.17	Were all delegations to committees within the limits specified in section 5.17?	N/A	No Delegations were made to committees.	Peter McGuckin



No	Reference	Question	Response	Comments	Respondent
4	s5.18	Were all delegations to committees recorded in a register of delegations?	N/A	No Delegations were made to committees.	Peter McGuckin
5	s5.18	Has council reviewed delegations to its committees in the 2020/2021 financial year?	N/A	No Delegations were made to committees.	Peter McGuckin
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	All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers).	Peter McGuckin
7	s5.42(1)	Were all delegations to the CEO resolved by an absolute majority?	Yes	All delegations to the CEO were made by Absolute Majority. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers).	Peter McGuckin
8	s5.42(2)	Were all delegations to the CEO in writing?	Yes	All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers).	Peter McGuckin
9	s5.44(2)	Were all delegations by the CEO to any employee in writing?	Yes	The CEO reviewed delegations to employees on 10 May 2021. All delegations by the CEO to other employees were made in writing.	Peter McGuckin
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	Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers). All delegations, including the annual review that amended or revoked a previous delegation were made by Absolute Majority.	Peter McGuckin
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	A register of Delegation of Authority is kept and made publicly available on the City's website.	Peter McGuckin



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 2020/2021 financial year?	Yes	All delegations were reviewed by both Council and the CEO at least once during the 2020/2021 financial year. The CEO reviewed his delegations on 10 May 2021. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers).	Peter McGuckin
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	All decisions made or actions taken under delegated authority are recorded in writing and retained on the corporate record keeping systems.	Peter McGuckin

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 members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation approvals granted under s5.68.	Peter McGuckin
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	All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting.	Peter McGuckin
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	All disclosures are recorded in the minutes of the relevant meeting.	Peter McGuckin
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	All primary returns were lodged within three months of relevant person's start date.	Peter McGuckin



No	Reference	Question	Response	Comments	Respondent
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?	No	One employee failed to lodge an annual return by 31 August 2021. The employee was on extended personal leave since 31 August 2020 and during this their position was made redundant. The employee ceased employment with the City on 22 July 2021	Peter McGuckin
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	The receipt of all Primary and Annual Returns were formally acknowledged in writing.	Peter McGuckin
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	A Register of Financial Interests is maintained by the City.	Peter McGuckin
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	A Register of Financial Interests is maintained by the City.	Peter McGuckin
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	All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person.	Peter McGuckin
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	All returns removed from the Register are retained for a further five years in a separate register.	Peter McGuckin
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		Peter McGuckin
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		Peter McGuckin
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		Peter McGuckin
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		Peter McGuckin



No	Reference	Question	Response	Comments	Respondent
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	All disclosures adversely affecting the impartiality of the council member were disclosed and recorded.	Peter McGuckin
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	All disclosures are recorded in the minutes of the relevant meeting.	Peter McGuckin
		*Question not applicable after 2 Feb 2021			
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	All disclosures of employees are recorded in the minutes of the relevant meeting.	Peter McGuckin
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		Peter McGuckin
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		Peter McGuckin
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 Code of Conduct was adopted by Council on 18 May 2021 (CJ071-05/21 refers).	Peter McGuckin
		*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		Peter McGuckin
		*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)?	No	The draft Code of Conduct for council members, committee members and candidates was provided to elected members at Strategy Sessions on 2 March 2021 and 6 April 2021 for feedback; and adopted by Council on 18 May 2021 (CJ071-05/21 refers).	Peter McGuckin



No	Reference	Question	Response	Comments	Respondent
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)?	No	Not applicable.	Peter McGuckin
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	The Code of Conduct for council members, committee members and candidates is published on the City's website.	Peter McGuckin
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 Code of Conduct for Employees was prepared and approved by the CEO at the Executive Leadership Team meeting held on 14 June 2021 and is published on the City's website.	Peter McGuckin

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		Peter McGuckin
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		Peter McGuckin



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	The register and gift declaration forms are maintained by the Manager Governance.	Peter McGuckin
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	All electoral gift forms are retained in the City's Record Keeping System and disposed of in accordance with legislative requirements.	Peter McGuckin
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	The electoral gift register is available on the City's website.	Peter McGuckin



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	Council previously established an Audit and Risk Committee, by Absolute Majority, at its meeting held on 4 November 2019 (JSC03-11/19 refers). At its meeting held on 1 November 2021 (JSC02-11/21 refers), Council, by Absolute Majority, established the Audit and Risk Committee and appointed members and deputy members to that committee.	Peter McGuckin	
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 delegations were made to the Audit and Risk Committee.	Peter McGuckin	
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	OAG report for 2020-2021 dated 14 December 2021	Peter McGuckin	
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?	N/A	No such matters identified.	Peter McGuckin	
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?	N/A		Peter McGuckin	
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?	N/A		Peter McGuckin	
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		Peter McGuckin	



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 (Joondalup 2022) was adopted by Council at the October 2012 meeting. A major review of the Strategic Community Plan was undertaken in 2017. The City is currently in the process of developing a new Strategic Community Plan and sought community feedback to inform the new plan during 2021.	Peter McGuckin
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 2021/22-2025/26 was adopted by Council at its meeting held on 21 September 2021 (item CJ136-09/21 refers). Quarterly reports against the progress of the plan are provided to Council. The next review of the Corporate Business Plan will take place in 2022/23.	Peter McGuckin
3	Admin Reg 19DA (2) & (3)	Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)?	Yes		Peter McGuckin



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		Peter McGuckin
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	Position of Director Planning and Community Development was advertised in both SEEK and the Local Government Jobs Directory (adverts placed by Lester Blades - Recruitment Consultant)	Peter McGuckin
3	Admin Reg 18E	Was all information provided in applications for the position of CEO true and accurate?	N/A		Peter McGuckin
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		Peter McGuckin
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss senior employee?	Yes	Council were informed of an appointment to the position of Director Planning and Community Development (designated Senior Employee) at the Council Meeting held on 14 December 2021 (item CJ186-12/21 refers).	Peter McGuckin
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		Peter McGuckin



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	The content of section 5.120, to which the question relates, was deleted with effect from 7 November 2020 upon the proclamation of the commencement of section 57, inter alia, of the Local Government Legislation Amendment Act 2019. The content of new section 5.120, inserted by section 57, has no relevance to this Question.	Peter McGuckin
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		Peter McGuckin
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		Peter McGuckin

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.	N/A	Next review due in 2022.	Peter McGuckin
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.	N/A	Next review is due in 2022.	Peter McGuckin



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

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		Peter McGuckin
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 on 19 May 2020 (CJ067-05/20 refers).	Peter McGuckin
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	All information is on the City's website that is required to be published. The City is working towards the consolidation of its Local Laws on the City's website.	Peter McGuckin
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 City's Elected Members' Entitlements Policy contains matters in relation to the continuing professional development of elected members.	Peter McGuckin
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	Council received a report at its meeting held on 20 July 2021 (CJ097-07/21 refers). The report is available on the City's website and was published before 31 July 2021.	Peter McGuckin
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?	Yes		Peter McGuckin
9	s.6.2(3)	When adopting the annual budget, did the local government take into account all its expenditure, revenue and income?	Yes		Peter McGuckin

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		Peter McGuckin



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

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		Peter McGuckin
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		Peter McGuckin
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?	Yes		Peter McGuckin
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		Peter McGuckin
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		Peter McGuckin
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		Peter McGuckin
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?	N/A	Tenders were submitted at the place and time specified.	Peter McGuckin
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		Peter McGuckin
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		Peter McGuckin
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		Peter McGuckin
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	Expressions of interest were submitted at the place and time specified.	Peter McGuckin



No	Reference	Question	Response	Comments	Respondent
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?	Yes		Peter McGuckin
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?	Yes		Peter McGuckin
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?	Yes		Peter McGuckin
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?	Yes		Peter McGuckin
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?	Yes		Peter McGuckin
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?	Yes		Peter McGuckin
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	Applications were submitted at the place and time specified.	Peter McGuckin
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?	Yes		Peter McGuckin
21	F&G Reg 24AI	Did the CEO send each applicant written notice advising them of the outcome of their application?	Yes		Peter McGuckin
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		Peter McGuckin



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

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

Signed Mayor/President, Joondalup

Signed CEO, Joondalup

Commercial Enterprises by Local Governments

Reference	Question	2021		2020	2019
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 [the relevant year]?	Yes	At its meeting held on 18 May 2021 (item CJ060-05/21 refers) for the proposed disposal of lots 1029 and 1032 Ocean Reef.	N/A	N/A
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 [the relevant year]?	Yes	At its meeting held on 18 May 2021 (item CJ060-05/21 refers) for the proposed disposal of lots 1029 and 1032 Ocean Reef.	N/A	N/A
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 [the relevant year]?	Yes	At its meeting held on 18 May 2021 (item CJ060-05/21 refers) for the proposed disposal of lots 1029 and 1032 Ocean Reef.	N/A	N/A
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 [the relevant year]?	Yes	At its meeting held on 18 May 2021 (item CJ060-05/21 refers) for the proposed disposal of lots 1029 and 1032 Ocean Reef.	N/A	N/A
s3.59(5)	During [the relevant year], did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority?	Yes	At its meeting held on 16 February 2021 (item CJ019-02/21 refers) for approval of the Ocean Reef Marina Business Plan.	N/A	N/A

Compliance Audit Return

Delegation of Power/Duty							
Reference	Question	2021		2020		2019	
s5.16	Were all delegations to committees resolved by absolute majority?	N/A	No Delegations were made to committees.	N/A	No Delegations were made to committees.	N/A	No delegations were made to committees.
	Were all delegations to committees in writing?	N/A	No Delegations were made to committees.	N/A	No Delegations were made to committees.	N/A	No delegations were made to committees.
s5.17	Were all delegations to committees within the limits specified in section 5.17?	N/A	No Delegations were made to committees.	N/A	No Delegations were made to committees.	N/A	No delegations were made to committees.
s5.18	Were all delegations to committees recorded in a register of delegations?	N/A	No Delegations were made to committees.	N/A	No Delegations were made to committees.	N/A	No delegations were made to committees.
	Has council reviewed delegations to its committees in the [the relevant] financial year?	N/A	No Delegations were made to committees.	N/A	No Delegations were made to committees.	N/A	No delegations were made to committees.
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	All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers).	Yes	All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers).	Yes	All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 25 June 2019 (CJ078-06/19 refers).
s5.42(1)	Were all delegations to the CEO resolved by an absolute majority?	Yes	All delegations to the CEO were made by Absolute Majority. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers).	Yes	All delegations to the CEO were made by Absolute Majority. Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers).	Yes	All delegations to the CEO were made by Absolute Majority. Council reviewed its delegations at its meeting held on 25 June 2019 (CJ078-06/19 refers).
s5.42(2)	Were all delegations to the CEO in writing?	Yes	All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers).	Yes	All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers).	Yes	All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 25 June 2019 (CJ078-06/19 refers).
s5.44(2)	Were all delegations by the CEO to any employee in writing?	Yes	The CEO reviewed delegations to employees on 10 May 2021. All delegations by the CEO to other employees were made in writing.	Yes	The CEO reviewed delegations to employees on 21 May 2020 as retained in the City's record keeping system. All delegations by the CEO to other employees were made in writing.	Yes	The CEO reviewed delegations to employees on 22 July 2019. All delegations by the CEO to other employees were made in writing.
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	Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers). All delegations, including the annual review that amended or revoked a previous delegation were made by Absolute Majority.	Yes	Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers). All delegations, including the annual review, that amended or revoked a previous delegation were made by Absolute Majority.	Yes	
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	A register of Delegation of Authority is kept and made publicly available on the City's website.	Yes	A Register of Delegation of Authority is kept and made publicly available on the City's website.	Yes	A Register of Delegation of Authority is kept and made publicly available on the City's website.



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s5.46(2)	Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the [the relevant] financial year?	Yes	All delegations were reviewed by both Council and the CEO at least once during the 2020/2021 financial year. The CEO reviewed his delegations on 10 May 2021. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers).	Yes	All delegations were reviewed by both Council and the CEO at least once during the 2019/2020 financial year. The CEO reviewed his delegations on the 21 May 2020 as retained in the City's record keeping system. Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers).	Yes	All delegations were reviewed by both Council and the CEO at least once during the 2018/2019 financial year. The CEO reviewed his delegations on the 22 July 2019. Council reviewed its delegations at its meeting held on 25 June 2019 (CJ078-06/19 refers).
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	All decisions made or actions taken under delegated authority are recorded in writing and retained on the corporate record keeping systems.	Yes	All decisions made or actions taken under delegated authority are recorded in writing and retained in the City's record keeping system.	Yes	All decisions made or actions taken under delegated authority are recorded in writing and retained on the corporate record keeping systems.

Compliance Audit Return

Disclosure of Interest

Reference	Question	2021		2020		2019	
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 members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation approvals granted under s5.68.	Yes	All members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation approvals granted under s5.68.		
	If a member disclosed an interest, did he/she ensure that they did not remain present to participate in any discussion or decision-making procedure relating to the matter in which the interest was disclosed (not including participation approvals granted under s5.68)?					Yes	All members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation in approvals granted under s5.68.
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	All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting.	Yes	All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting.		
	Were all decisions made under section 5.68(1), and the extent of participation allowed, recorded in the minutes of Council and Committee meetings?					Yes	All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting.
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	All disclosures are recorded in the minutes of the relevant meeting.	Yes	All disclosures are recorded in the minutes of the relevant meeting.	Yes	All disclosures are recorded in the minutes of the relevant meeting.
	Where the CEO had an interest relating to a gift under section 5.71A(1), was written notice given to the Council?					N/A	
	Where the CEO had an interest relating to a gift in a matter in respect of a report another employee is providing advice on under section 5.71A (3), was the nature of interest disclosed when the advice or report was provided?					N/A	
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	All primary returns were lodged within three months of relevant person's start date.	Yes	All primary returns were lodged within three months of relevant persons start date.	Yes	There were two newly elected members in 2019, Cr Raftis and Cr Thompson, both completed their Primary Return within three months of their start date.



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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?			No	An oversight of the City's governance processes failed to identify two newly designated employees which resulted in requests for the submission of a primary return being issued to them late. One employee was acting in a designated employee position and received the request for a primary return after their designated period had ended. The employee lodged the primary return on the same day the request was issued. The other employee received the request for a primary return five months after commencement and lodged the primary return within two months of the request.
s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August [the relevant year]?			Yes	All Elected Members lodged their Annual Return by 31 August 2019.
s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August [the relevant year]?			Yes	All designated employees lodged their Annual Return by 31 August 2019.
s5.76 Admin Reg 23, Form 3	Was an annual return in the prescribed form lodged by all relevant persons by 31 August [the relevant year]?	No	One employee failed to lodge an annual return by 31 August 2021. The employee was on extended personal leave since 31 August 2020 and during this their position was made redundant. The employee ceased employment with the City on 22 July 2021.	Yes	All annual returns were lodged by relevant persons by 31 August 2020.
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	The receipt of all Primary and Annual Returns were formally acknowledged in writing.	Yes	The receipt of all Primary and Annual Returns was formally acknowledged in writing.
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	A Register of Financial Interests is maintained by the City.	Yes	A Register of Financial Interests is maintained by the City.
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	A Register of Financial Interests is maintained by the City.	Yes	A Register of Financial Interests is maintained by the City.
s5.89A Admin Reg 28A	Did the CEO keep a register of gifts which contained a record of disclosures made under section 5.71A, in the form prescribed in Administration Regulation 28A?			Yes	
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	All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person.	Yes	All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person.
	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	All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person.



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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	All returns removed from the Register are retained for a further five years in a separate register.	Yes	All returns removed from the Register are retained for a further five years in a separate register.	
	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 removed from the Register are retained for a further five years in a separate register.
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		Yes		
s5.89A(5) & (5A)	Did the CEO publish an up-to-date version of the gift register on the local government's website?	Yes		Yes		
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		Yes		
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		Yes	Copies of records removed from the register are maintained in the City's record keeping system.	
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	All disclosures adversely affecting the impartiality of the council member were disclosed and recorded.	Yes	All disclosures adversely affecting the impartiality of the council member were disclosed and recorded.	
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	All disclosures are recorded in the minutes of the relevant meeting.	Yes	All disclosures are recorded in the minutes of the relevant meeting.	
	*Question not applicable after 2 Feb 2021					
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	All disclosures of employees are recorded in the minutes of the relevant meeting.	Yes	All disclosures of employees are recorded in the minutes of the relevant meeting.	Yes All disclosures include the nature of the interest to be declared.
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		N/A		



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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	N/A	
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 Code of Conduct was adopted by Council on 18 May 2021 (CJ071-05/21 refers).	Yes
	*Question not applicable after 2 Feb 2021			The Code of Conduct was adopted by Council at its meeting held on 15 May 2018 (CJ076-05/18 refers).
s5.103(3) Admin Reg 34B	Has the CEO kept a register of all notifiable gifts received by Council members and employees?			Yes
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 All disclosures are recorded in the minutes of the relevant meeting.
Admin Reg 34B(5)	Has the CEO kept a register of notifiable gifts in accordance with Admin Reg 34B(5)?*	Yes		Yes
	*Question not applicable after 2 Feb 2021			
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)?	No	The draft Code of Conduct for council members, committee members and candidates was provided to elected members at Strategy Sessions on 2 March 2021 and 6 April 2021 for feedback; and adopted by Council on 18 May 2021 (CJ071-05/21 refers).	
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)?	No	Not applicable.	
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	The Code of Conduct for council members, committee members and candidates is published on the City's website.	
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 Code of Conduct for Employees was prepared and approved by the CEO at the Executive Leadership Team meeting held on 14 June 2021 and is published on the City's website.	

Compliance Audit Return

Disposal of Property

Reference	Question	2021	2020	2019
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	Yes The City advertised in the Joondalup Weekender newspaper on Thursday 26 August 2020 for the disposal of property for the Joondalup Reception Centre located at 102 Boas Avenue, Joondalup. Concerning the private treaty land disposal of Lot 803 (15) Burlos Court Joondalup public notice was served for a 15-day period from 26 March 2020.	Yes Public notice of a private treaty disposition concerning Lot 2 (20) Kanangra Crescent, Greenwood was included in the West Australian on 30 March 2019 inviting submissions until 15 April 2019.
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	Yes For the Joondalup Reception Centre located at 102 Boas Avenue Joondalup the City provided details within the advertisement of concerned parties, the permitted purpose and proposed term of the lease, market valuation amount and date and proposed rent to be received. For Lot 803 (15) Burlos Court Joondalup all the required details were included in the public notice.	Yes All the required details were included in the public notice.

Compliance Audit Return

Elections

Reference	Question	2021		2020		2019	
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	The register and gift declaration forms are maintained by the Manager Governance.	Yes	The register and gift declaration forms are maintained by the Manager Governance.	Yes	An Electoral Gift Register is maintained in the City's record management system.
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	All electoral gift forms are retained in the City's Record Keeping System and disposed of in accordance with legislative requirements.	Yes	All electoral gift forms are retained in the City's record keeping system and disposed of in accordance with legislative requirements.	Yes	Disclosure of Gift forms relating to unsuccessful candidates have been removed from the Electoral Gift Register and retained for a further 2 years.
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	The electoral gift register is available on the City's website.	Yes	The electoral gift register is available on the City's website.		

Compliance Audit Return

Finance							
Reference	Question	2021		2020		2019	
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	Council previously established an Audit and Risk Committee, by Absolute Majority, at its meeting held on 4 November 2019 (JSC03-11/19 refers). At its meeting held on 1 November 2021 (JSC02-11/21 refers), Council, by Absolute Majority, established the Audit and Risk Committee and appointed members and deputy members to that committee.	Yes	Council previously established an Audit and Risk Committee by Absolute Majority at its Special Meeting held on 6 November 2017 (JSC03-11/17 refers). At its meeting held on 4 November 2019 (JSC03-11/19 refers) post elections, Council, by Absolute Majority, re-established the Audit and Risk Committee and appointed members and deputy members to the committee.	Yes	Council previously established an Audit and Risk Committee by Absolute Majority at its Special Meeting held on 6 November 2017 (JSC03-11/17 refers). At its meeting held on 4 November 2019 (JSC03-11/19 refers) post elections, Council, by Absolute Majority, re-established the Audit and Risk Committee and appointed members and deputy members to the committee.
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 delegations were made to the Audit and Risk Committee.	N/A	No delegations were made to the Audit and Risk Committee.	N/A	No delegations were made to the Audit and Risk Committee.
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	The City's auditor is the Office of the Auditor-General, appointed by legislation.	N/A	The City's auditor is the Auditor-General, by law.
s7.3(1)	Was the person(s) appointed by the local government under s7.3(1) to be its auditor, a registered company auditor?					N/A	The City's auditor is the Auditor-General, by law.
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?			N/A	The Office of the Auditor General was not appointed by the City.		
s7.9(1)	Was the auditor's report for the financial year ended 30 June 2021 received by the local government by 31 December [relevant year]?	Yes	OAG report for 2020-2021 dated 14 December 2021	Yes	The Office of the Auditor General's audit report for 2019/2020 was dated 7 December 2020.	Yes	
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?	N/A	No such matters identified.	N/A	No such identified.	N/A	No such actions required.
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?	N/A		N/A			



Compliance Audit Return

S7.12A (4)	Where the auditor identified matters as significant in the auditor's report (prepared under s7.9(1) of the Act), did the local government prepare a report stating what action had been taken or it intended to take with respect to each of the matters and give a copy to the Minister within 3 months after receipt of the audit report?			N/A	
s7.12A(5)	Within 14 days after the local government gave a report to the Minister under s7.12A(4)(b), did the CEO publish a copy of the report on the local government's official website?	N/A	N/A	N/A	
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	Note that the Office of the Auditor General's objectives are not determined by the City.	
	Did the agreement between the local government and its auditor include the scope of the audit?			Yes	
	Did the agreement between the local government and its auditor include a plan for the audit?			Yes	
	Did the agreement between the local government and its auditor include details of the remuneration and expenses to be paid to the auditor?			Yes	Actual Fee determined by the Auditor General and communicated to the City subsequently.
	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?				No
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	Yes	Yes	

Compliance Audit Return

Integrated Planning and Reporting

Reference	Question	2021		2020		2019	
s5.56 Admin Reg 19DA (6)	Has the local government adopted a Corporate Business Plan. If Yes, please provide adoption date of the most recent Plan in Comments?					Yes	The Corporate Business Plan 2019/20 - 2023/24 was adopted by Council in August 2019.
s5.56 Admin Reg 19DA (4)	Has the local government reviewed the Corporate Business Plan in the 2018-2019 Financial Year. If Yes, please provide date of Council meeting the review was adopted at?					Yes	The Corporate Business Plan for 2019/20 - 2023/24 was reviewed and prepared during the 2018/19 period and adopted in August 2019.
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 (Joondalup 2022) was adopted by Council at the October 2012 meeting. A major review of the Strategic Community Plan was undertaken in 2017. The City is currently in the process of developing a new Strategic Community Plan and sought community feedback to inform the new plan during 2021.	Yes	The Strategic Community Plan (Joondalup 2022) was adopted by Council at its meeting held on 23 October 2012 (CJ210-10/12 refers). A major review of the Strategic Community Plan was undertaken in 2017. The City is currently in progress of developing a new Strategic Community Plan.	Yes	The Strategic Community Plan (Joondalup 2022) was adopted by Council at The October 2012 meeting.
s5.56 Admin Reg 19C (4)	Has the local government reviewed the current Strategic Community Plan. If Yes, please provide date of most recent review by Council in Comments. Note: If the current Strategic Community Plan was adopted after 1/1/2016, please respond N/A and provide adoption date in Comments?					Yes	Major review of the Strategic Community Plan was undertaken and modifications were adopted by Council at the April 2018 meeting.
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 2021/22-2025/26 was adopted by Council at its meeting held on 21 September 2021 (item CJ136-09/21 refers). Quarterly reports against the progress of the plan are provided to Council. The next review of the Corporate Business Plan will take place in 2022/23.	Yes	The Corporate Business Plan 2020/2021-2024/2025 was adopted by Council at its meeting held on 20 October 2020 (CJ148-10/20 refers). The next review of the Corporate Business Plan will take place in 2021/2022.		
Admin Reg 19DA(2) & (3)	Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)?	Yes		Yes			
S5.56 Admin Reg 19DA (3)	Has the local government developed an Asset Management Plan(s) that covers all asset classes. If Yes, please provide the date of the most recent Plan adopted by Council in Comments?					Yes	The City's Asset Management Strategy was endorsed by the Chief Executive Officer on 6 October 2014. The Strategy was not adopted by Council, however it has been presented to elected members at a strategy session, budget workshops and induction.
S5.56 Admin Reg 19DA (3)	Has the local government developed a Long Term Financial Plan. If Yes, please provide the adoption date of the most recent Plan in Comments?					Yes	Adopted at Council meeting on 20 August 2019 CJ108-08/19 refers.
S5.56 Admin Reg 19DA (3)	Has the local government developed a Workforce Plan. If Yes, please provide adoption date of the most recent Plan in comments?					Yes	Current Workforce Plan 2018-2022 was endorsed by the CEO on 17 December 2018.

Compliance Audit Return

Local Government Employees

Reference	Question	2021	2020	2019
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	Yes At Special Council meeting held on 11 February 2020 (JSC01-02/20 refers).	N/A
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 Position of Director Planning and Community Development was advertised in both SEEK and the Local Government Jobs Directory (adverts placed by Lester Blades - Recruitment Consultant)	Yes The CEO position was advertised widely in June 2020, including in the West Australian newspaper on 27 June 2020. The position was required to be readvertised in October 2020 but this did not include the West Australian newspaper as legal advice indicated this was not needed.	No The vacant senior employee position of Director Corporate Services was not advertised in a newspaper circulating throughout the state as required by Admin Reg 18A. Contemporary electronic media advertising (e.g. Seek) with circulation far wider but inclusive of the state was adopted.
Admin Reg 18E	Was all information provided in applications for the position of CEO true and accurate?	N/A	Yes Due diligence confirmed by Lester Blades - recruitment agent engaged to complete recruitment for the successful applicant.	N/A
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	Yes	N/A
s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss senior employee?	Yes Council were informed of an appointment to the position of Director Planning and Community Development (designated Senior Employee) at the Council Meeting held on 14 December 2021 (item CJ186-12/21 refers).	N/A	Yes Council were informed of contract renewal for one senior employee at Council meeting 25/06/2019 (CJ083-06/19 refers) Appointment of senior employee Director Corporate Services referred to Special Council meeting 03/12/2019 (JS05-12/19 refers).
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	N/A	

Compliance Audit Return

Official Conduct

Reference	Question	2021	2020	2019
s5.120	Has the local government designated a senior employee as defined by section 5.37 to be its complaints officer?	Yes The content of section 5.120, to which the question relates, was deleted with effect from 7 November 2020 upon the proclamation of the commencement of section 57, inter alia, of the Local Government Legislation Amendment Act 2019. The content of new section 5.120, inserted by section 57, has no relevance to this Question.	Yes	N/A
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	N/A	
	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
s5.121(2)	Does the complaints register include all information required by section 5.121 (2)?		N/A	
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
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
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
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
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	N/A	

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Optional Questions

Reference	Question	2021	2020	2019
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.	N/A Next review due in 2022.	Yes Yes at its meeting held on 17 March 2020 (CJ036-03/20 refers).	Yes Review has been completed by consultancy firm Deloitte and will be reported to the Audit and Risk Committee and then Council in March 2020.
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.	N/A Next review is due in 2022.	Yes Yes at its meeting held on 17 March 2020 (CJ035-03/20 refers).	Yes Review has been completed by consultancy firm Deloitte and will be reported to the Audit and Risk Committee and then Council in March 2020.
Financial Management Reg 5A.	Did the local government provide AASB 124 related party information in its annual report(s) tabled at an electors meeting(s) during calendar year 2019?			Yes In accordance with AASB 124 related party information was reported within the Annual Financial Statements that formed part of the annual report tabled at the Electors Meeting in December 2019.
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	
	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	Yes	
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 on 19 May 2020 (CJ067-05/20 refers).	Yes The Attendance at Events Policy was adopted by Council at its meeting held on 19 May 2020 (CJ067-05/20 refers). The Attendance at Events Policy was published on the City's website after its endorsement on the 19 May 2020.	
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 All information is on the City's website that is required to be published. The City is working towards the consolidation of its Local Laws on the City's website.	Yes All information is on the City's website that is required to be published.	
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 City's Elected Members' Entitlements Policy contains matters in relation to the continuing professional development of elected members.	No The City's current Elected Members' Entitlements Policy contains policy matters in relation to the continuing professional development of elected members. This policy was in place well before section 5.128(1) came into effect in 2019. Council in accordance with this provision will be reviewing this policy prior to the 2021 local government elections.	



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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	Council received a report at its meeting held on 20 July 2021 (CJ097-07/21 refers). The report is available on the City's website and was published before 31 July 2021.	Yes	Council received a report at its meeting held on 21 July 2020 (CJ100-07/20 refers). The report is available on the City's website and was published before 31 July 2020.	
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?	Yes		Yes		Yes
s.6.2(3)	When adopting the annual budget, did the local government take into account all its expenditure, revenue and income?	Yes				

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Tenders for Providing Goods and Services

Reference	Question	2021	2020	2019
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		
	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	
F&G Reg 11A	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, \$150,000 or less?			Yes
	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 is, or is expected to be \$150,000 or less or worth \$150,000 or less?			Yes
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	Yes	Yes
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	Yes	
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?	Yes	Yes	Yes
F&G Reg 14(1) & (3)	Did the local government invite tenders via Statewide public notice?			Yes
F&G Reg 14 & 15	Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16?			Yes
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	Yes	Yes
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	Yes	



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F&G Regs 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of F&G Reg 16?				Yes
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	No	Information recorded in the tender register is in accordance with Reg 17 and the tender register is available for public inspection. The requirement to publish the tender register on the City's website was enacted only in November 2020 with no prior warning or lead-in time provided. The City will have this published on its website in March 2021.	
	Did the information recorded in the local government's tender register comply with the requirements of F&G Reg 17 and did the CEO make the tenders register available for public inspection?				Yes
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?	N/A	Tenders were submitted at the place and time specified.	Yes	Yes
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		Yes	Yes
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		Yes	Yes
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		Yes	Yes
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	Expressions of interest were submitted at the place and time specified.	N/A	Expressions of interest were submitted at the place and time specified.
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?	Yes		Yes	
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	Yes
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?	Yes		Yes	No The Notice issued for one EOI did not comply omitting the names of all persons listed as acceptable tenderers. A correction notice has been issued in 2020 to correct this oversight.



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F&G Reg 24AC (1) & (2)	Has the local government established a policy on procurement of goods and services from pre-qualified suppliers in accordance with the regulations?			Yes	The City's Purchasing Policy has provisions for Regulation 24AC (1) & (2) and is further detailed in a Protocol.
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?	Yes	Yes	Yes	
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?	Yes	Yes	Yes	
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?	Yes	Yes	Yes	
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?	Yes	Yes	Yes	
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	Applications were submitted at the place and time specified.	N/A	None received for single Panel of Pre-qualified Suppliers advertised in this period.
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	Yes	Yes	
F&G Reg 24AI	Did the CEO send each applicant written notice advising them of the outcome of their application?	Yes	Yes	Yes	
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	N/A	N/A	The City is not eligible to apply this price preference.