

**City of Joondalup**  
**Internal Audit Plan 20012/2013**

## Attachment 1

<b>Audit Area</b>	<b>Comment / Potential Risks</b>	<b>Audit Days</b>	<b>Business Unit</b>	<b>Timing</b>
Review Event Risk MGMT Plans including Little Feet Festival, Summer Concerts, Sunset Markets, Valentines Concert, Joondalup Festival etc	The City offers a range of events that attracts many residents and visitors. Prior to each event a Risk MGMT Plan is developed that identifies, analyses and describes preventative and response actions for risks that present threats to the success of the event and the health and safety of patrons. The Plans are developed using the principles and guidelines of Risk MGMT Standard AS/NZS 31000:2009.	10	Leisure & Cultural Services	As they occur
Natural Areas Friends Groups	Activities may not be carried out in an efficient or structured approach in compliance with the Friends Group Liaison Protocol or the Friends Group Manual.	10		Mar/Apr 2013
Risk Management Framework	Risk management plans not aligned with business unit and strategic objectives as required by the City's Risk Management Framework.	20	All	Ongoing
Annual Stock Take at the WOC Store	Stock take not performed in independent/transparent manner with integrity and results of exercise questionable.	1	Financial Services; Operation	May 2013
Evacuation Procedures	Risks to staff and visitors to City buildings from inadequate emergency evacuation procedures.	5	All	Ongoing with consultant engagement
Compliance Audit Return	Annual return not completed fully or accurately and submitted to the Department of Local Government by the required deadline.	10	All Directorates and Business Units	Feb/Mar 2013
City's Weed Spraying Operations	Poor contract management / Inefficient deployment of resources between in-house and contractor. Ongoing cooperation with Business Unit to provide responses to questions and liaison with consultants.	15	Operation Services	Ongoing
Payment Card Industry (PCI) Compliance	Failure to meet Data Security Standard (DSS) with insecure collection and storage of credit card details and associated implications for the City.	7	Information Technology	Nov 2012

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Main Roads Capital Works Grants	Inefficient processes with grants not received, not used for purpose and not acquitted accurately and on time.	15	Infrastructure Management Services	Sep/Oct 2012
Flood Analysis	City's drainage network unable to cope with current and future incidents of heavy rain and flooding.	15	Infrastructure Management Services	Nov/Dec 2012
Waste Collection Contract	Service not operating per contract requirements.	30		Feb/Mar 2013
Audits Follow-up	Non-implementation of agreed recommendations.	7	As applicable	Ongoing
Waste Collection Contract	Service not operating per contract requirements.	30	Asset Management	Late Jan/Feb 2013
External Liaison – e.g. LGIS, External Auditors etc	IA liaison regarding areas concerning audit work, risk exposure etc.	1		
Membership and attendance at Risk Management Taskforce, Financial Review Taskforce, Emergency MGMT & AWARE Project etc.	The Internal Auditor is a member of various taskforces and projects to ensure audit issues and risks are adequately addressed.	10		
CEO Special Requests	As identified.	45		
Audit Committee Requests and Reports	N/A	7		
Internal audit Local Government Networking	The Internal Auditor meets quarterly with other local government auditors to discuss audit issues including new developments and common areas etc.	4		

N.B. This Internal Audit Plan is subject to modification under authority of the Chief Executive Officer.