



EXECUTIVE AND RISK SERVICES PROGRAM 2014-15

Joondalup 2022 Key Theme and Strategic Initiative	Program / Projects	Activity	Quarter
Governance and Leadership Demonstrate accountability through robust reporting that is relevant and easily accessible by the community.	Internal Audit Program Responsibility: Internal Auditor	<i>Risk Management Framework</i> (annual review).	Q1
		Review gift registers and primary returns (to compare repeat gift providers).	
		Review of financial counselling service.	
		Review use of trade cards.	Q2
		Review use of credit cards.	
		Review contractors safety obligations.	
		Review of Directorate Business Continuity Plans for update of Consolidated Plan.	
		Compliance Audit Return (submit to Department of Local Government and Communities prior to 31 March 2015).	Q3
		Review Ranger Services enforcement process (hand held electronic devices).	
		Review of Mullaloo foreshore vegetation removal.	
		Detailed analysis of City suppliers: <ul style="list-style-type: none"> Top 20 suppliers to the City by both dollar value and by volume of transactions for 2011-12 and 2012-13. Those who have received payments in excess of \$100,000 from the City in 2011-12 and 2012-13 where tenders have not been called. 	
		Works Operation Centre stock take (annual review).	Q4
		Carriage and follow-up of the local government procurement audit.	Q1 – Q4
		Review of audit reports for accounts payable and chart changes and user maintenance changes.	
		Review of Event Risk Management Plans: <ul style="list-style-type: none"> Little Feet Festival. Summer Concerts. Sunset Markets. Joondalup Festival. Valentines Concert. Others as required. 	

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Governance and Leadership Demonstrate accountability through robust reporting that is relevant and easily accessible by the community.	Internal Audit Program Responsibility: Internal Auditor	Audit follow-up (non implementation of agreed recommendations).	Q1 – Q4
		Audit Committee Requests and Reports: <ul style="list-style-type: none"> • Corporate Risk Register reporting. • As requested. 	
		Membership and meeting attendance: <ul style="list-style-type: none"> • Risk Management Taskforce. • Financial Review Taskforce. • Others as required. 	
		Fraud and Misconduct Risk Assessment (external auditor to be appointed). Approved scope: conduct an assessment of the City's susceptibility to fraud and misconduct risks which will: <ul style="list-style-type: none"> • Identify and document fraud and misconduct risks in the City's procurement practices. • Identify and document current procurement systems and controls and their adequacy in addressing those risks. • Identify and document gaps in the control framework. 	Q2 – Q3
		Payment Card Industry Compliance (external auditor to be appointed). Approved scope: audit of the City's systems and processes for receiving, storing and securing payment card transactions to establish compliance with Payment Card Industry Data Security Standard.	Q3 – Q4
		Testing of IT recovery / backup and security (external auditor to be appointed). Approved scope: testing of the City's information technology systems and networks to determine the effectiveness of security and any risk exposures to external intrusion and unauthorised access.	

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Governance and Leadership Demonstrate accountability through robust reporting that is relevant and easily accessible by the community.	Corporate Risk Register Responsibility: Manager; Internal Auditor.	Reporting to Chief Executive Officer.	Q1 – Q4
		Review of new emerging risks.	Q4
		Development of 2015-16 register	
Financial Sustainability Seek out efficiencies and regional collaborations to reduce service delivery costs.	Service Levels Responsibility: Senior Program Analyst.	Monitor implementation and performance levels, and develop new Service Level Agreements.	Q1 – Q4
	Analysis and Review Responsibility: Manager; Internal Auditor; Senior Program Analyst.	Cost Efficiency and Service Reviews. Business, financial and operational analysis. Benchmark and conduct value for money audits of internal and external services. <i>In alignment with the 20-Year Strategic Financial Plan cost projections, continually review materials and contracts costs to identify and implement efficiency reductions.</i>	Q1 – Q4