

Executive and Risk Services Program 2017-18

Services and Service Levels

Service	Objective	Service Level
Internal audit and risk mitigation	To report to the Audit Committee	<ul style="list-style-type: none"> Provision of reports to allow the Audit Committee to oversee internal / external auditing, risk management, internal control and compliance functions of the City.
	To undertake activities listed in the Annual Internal Audit Program	<ul style="list-style-type: none"> Provision of an independent and objective review of City operations and systems – provides assurance that risk management, controls and compliance processes are effective.
	Coordination of raising awareness and ongoing education of risk management responsibilities	<ul style="list-style-type: none"> To enhance awareness of risk and promote a positive risk culture that embeds risk management across the City's systems and processes.
Monitoring and/or reviewing activities	Implementation of the Service Review Program	<ul style="list-style-type: none"> Reviewing the City's performances to minimise risk exposure (to inform risk management decision making at the executive and managerial level).
	Undertake business, financial and operational analysis	<ul style="list-style-type: none"> Reviewing the City's performances to improve efficiency and effectiveness. To provide confidence and integrity of data and/or information.
Quality Management System	To development, implement and maintain the City's Quality Management System (ISO9000:2015)	<ul style="list-style-type: none"> Provision of advice, guidance and training on the application and use of the Quality Management System. Oversight of the Quality Management System within established areas. Implementation of the Quality Management System within new areas.

NOTE: The Internal Audit Program assist the Chief Executive Officer to comply with section 17 of the *Local Government (Audit) Regulations 1996* – review the appropriateness and effectiveness of a local government's systems and procedures in relation to risk management, internal control and legislative compliance.

Joondalup 2022 Key Theme and Objective	Actions and Projects	Informing Plan or Legislation	Project Milestone	
<p>Governance and Leadership</p> <p>Corporate Capacity For the community to have confidence and trust in the City that it can deliver services effectively and transparently</p> <p><u>Strategic Initiatives</u> Demonstrate accountability through robust reporting that is relevant and easily accessible by the community</p> <p>Continuously strive to improve performance and service delivery across all corporate functions</p>	Internal Audit Program	Local Government Act 1995	Q1 – Q4	Audit Committee Requests and Reports
		Local Government (Audit) Regulations 1996	Q1 – Q4	Development of an overall Fraud, Corruption and Misconduct Control Framework for the City
		Corruption, Crime and Misconduct Act 2003	Q1 – Q4	Review outcomes of data analytics performed by Deloitte to prioritise and inform the audit plan to examine potential areas where fraudulent activity may exist
		Q1 – Q4	Respond to referrals from external agencies (including the Corruption and Crime Commission and Public Sector Commission) that may require investigation and reporting as required by legislation	
		Q1 – Q4	Ongoing review of employees' and elected members' gift registers	
		Q1 – Q4	Audit follow-up (implementation of agreed recommendations)	
		Q1	Complete the annual audit of compliance of the Information Protection Agreement between the City and VicRoads	
		Q1	Coordinate the completion of the annual Integrity and Conduct Survey and ensure its submission to the Public Sector Commission by the stipulated deadline	
		Q3	Coordinate the completion of the annual Compliance Audit Return and ensure its submission to the Department of Local Government and Communities by 31 March 2018	

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			Q1 – Q2	Strategic Risk Register – finalise allocation of risk owners, treatment owners and the ratings of inherent and residual risks
			Q1 – Q4	Strategic Risk Register – monitor risks and report issues of concern to the Chief Executive Officer
			Q4	Strategic Risk Register – annual reporting to the Chief Executive Officer of the status of the register
			Q1 – Q4	Project Risk Registers – monitor risks and report issues of concern to the Chief Executive Officer
			Q3 – Q4	Business Unit Risk Registers – undertake risk management workshops for the development of the 2018/19 registers to identify risk owners, treatment owners and the ratings of inherent and residual risks

NOTE: The Service Review Program assist the Chief Executive Officer to comply with section 17 of the *Local Government (Audit) Regulations 1996* – review the appropriateness and effectiveness of a local government’s systems and procedures in relation to risk management, internal control and legislative compliance.

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Financial Sustainability Effective Management To conduct business in a financially sustainable manner <u>Strategic Initiative</u> Seek out efficiencies and regional collaborations to reduce service delivery costs	Service Review Program	Local Government Act 1995	Q1	Finalise Performance Review of Procurement and Contract Management
	Business, financial and operational analysis	Local Government (Audit) Regulations 1996	Q1 – Q4	Undertake Performance Reviews to review the efficiency and effectiveness of the City’s performance, including the identification of risks (as directed by the Chief Executive Officer or from outcomes of data analytics)
	Data Analytics Program	20-Year Strategic Financial Plan	Q1 – Q4	Audit Committee Requests and Reports
	Local Government Benchmarking Program		Q1 – Q4	Australasian Local Government Performance Excellence Program <ul style="list-style-type: none"> • Finalise analysis of the 2015/16 data using the final report and online comparative tool • Identify areas using the 2015/16 data where further analysis and review could improve business performance • Participate in the second year of the program for 2016/17 data

Review of Event Risk Management Plans/Project Risk Assessments

- ANZAC Day
- Australia Day Citizenship Ceremony
- Craigie Leisure Centre Christmas Party
- Defeat the Beat
- Dogs Day Out
- Little Feet Festival
- Kaleidoscope
- Joondalup Festival
- Music in the Park Concerts x 3
- Shepherd's Bush Park BMX Track
- Twilight Markets
- Urban Couture
- Valentine's Concert
- Youth Music Event
- Admiral Park Floodlight Upgrade
- Black Spot Program 2016/17
- Chichester Park Clubroom Redevelopment
- Heathridge Park Master Plan
- Hepburn Avenue / Glenggary Drive Roundabout
- Ocean Reef Road / Joondalup Drive Intersection
- Ocean Reef Road Duplication
- Robertson Road Cycleway Path Upgrade
- Sorrento Foreshore Parking Improvements
- Whitfords Nodes Stairway

Internal Audits / Reviews

- Credit Cards and Trade Cards
- Graffiti Bonus Payment
- Pre-Paid Debit Card Protocol
- VicRoads Information Protection Agreement
- Cash and Cheque Collection Service

Legislative Requirements

- Chief Executive Officer Review of Systems for Risk Management, Internal Control and Legislative Compliance
- Completion of 2016 Compliance Audit Return
- Completion of 2016 Public Sector Commission Integrity and Conduct Survey

Other

- Development of Fraud, Corruption and Misconduct Control Policy
- Oversight of implementation of recommendations following external review of the City's approach to financial modelling
- Oversight of external review of Joondalup Performing Arts and Cultural Facility Business Case and Financing Strategy
- Participation in Australasian Local Government Performance Excellence Program for 2015-16 (first year of three)
- Delivery of insights from data analytics program undertaken by Deloitte

NOTE: Does not include activities commenced in 2016-17 that are still ongoing.