

# minutes

## Audit and Risk Committee

MEETING HELD ON

MONDAY 13 NOVEMBER 2023

### **Acknowledgement of Traditional Custodians**

The City of Joondalup acknowledges the traditional custodians of the land, the Whadjuk people of the Noongar nation, and recognises the culture of the Noongar people and the unique contribution they make to the Joondalup region and Australia. The City of Joondalup pays its respects to their Elders past and present and extends that respect to all Aboriginal and Torres Strait Islander peoples.

*This document is available in alternate formats upon request*

[joondalup.wa.gov.au](http://joondalup.wa.gov.au)

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**Note:**

Clause 15.10 of the City's *Meeting Procedures Local Law 2013* states:

*This local law applies generally to committee meetings except for clause 7.1 in respect of members seating and clause 7.8 in respect of limitation on members speaking.*

# CITY OF JOONDALUP

## MINUTES OF THE AUDIT AND RISK COMMITTEE MEETING HELD IN CONFERENCE ROOM 1, JOONDALUP CIVIC CENTRE, BOAS AVENUE, JOONDALUP ON MONDAY 13 NOVEMBER 2023.

### ATTENDANCE

#### Committee Members

Cr John Raftis	<i>Presiding Member</i>	
Mayor Hon. Albert Jacob, JP		<i>to 7.28pm</i>
Cr Rebecca Pizzey		
Cr Lewis Hutton		
Cr Daniel Kingston		
Cr Rohan O'Neill	<i>Deputy Presiding Member</i>	
Cr Christine Hamilton-Prime, JP		<i>absent from 7.35pm to 7.39pm</i>

#### Observer

Cr John Chester

#### Officers

Mr James Pearson	Chief Executive Officer	<i>attended Electronically</i>
Mr Jamie Parry	Director Governance and Strategy	<i>absent from 6.05pm to 6.07pm to 7.52pm</i>
Mr Nico Claassen	Director Infrastructure Services	
Mr Mat Humfrey	Director Corporate Services	
Mr Chris Leigh	Director Planning and Community Development	
Mrs Kylie Bergmann	Manager Governance	<i>to 7.03pm</i>
Mrs Christine Robinson	Manager Audit, Risk and Executive Services	
Mr Peter McGuckin	Internal Auditor	
Mrs Deborah Gouges	Senior Governance Officer	

## 1 DECLARATION OF OPENING

The Presiding Member declared the meeting open at 6.02pm.

## 2 DECLARATIONS OF FINANCIAL INTEREST / PROXIMITY INTEREST / INTEREST THAT MAY AFFECT IMPARTIALITY

### 2.1 DISCLOSURES OF INTEREST AFFECTING IMPARTIALITY

A declaration under this section requires that the nature of the interest must be disclosed. Consequently, a member who has made a declaration must not preside, participate in, or be present during any discussion or decision-making procedure relating to the matter the subject of the declaration. An employee is required to disclose their financial interest and if required to do so by the Council must disclose the extent of the interest. Employees are required to disclose their financial interests where they are required to present verbal or written reports to the Council. Employees are able to continue to provide advice to the Council in the decision-making process if they have disclosed their interest.

<b>Name / Position</b>	<b>Cr Hamilton-Prime, JP.</b>
<b>Meeting Type</b>	Audit and Risk Committee.
<b>Meeting Date</b>	13 November 2023.
<b>Item No. / Subject</b>	Item 8.1 - Appointment of External Member to the Audit and Risk Committee.
<b>Nature of Interest</b>	Interest that may affect Impartiality.
<b>Extent of Interest</b>	One of the candidates is known to Cr Hamilton-Prime.

## 3 APOLOGIES AND LEAVE OF ABSENCE

## 4 CONFIRMATION OF MINUTES

### 4.1 MINUTES OF THE AUDIT AND RISK COMMITTEE HELD ON 21 AUGUST 2023 AND 6 NOVEMBER 2023

**MOVED** Cr Raftis, **SECONDED** Cr O'Neill that the Minutes of the following meetings of the Audit and Risk Committee be **CONFIRMED** as a true and correct record:

- 1 **Audit and Risk Committee meeting held on 21 August 2023;**
- 2 **Special Audit and Risk Committee meeting held on 6 November 2023.**

**The Motion was Put and**

**CARRIED (7/0)**

**In favour of the Motion:** Cr Raftis, Mayor Jacob, Cr Hamilton-Prime, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.

**Against the Motion:** Nil.

## **5 ANNOUNCEMENTS BY PRESIDING MEMBER WITHOUT DISCUSSION**

Nil.

*The Director Governance left the Room at 6.05pm.*

## **6 IDENTIFICATION OF MATTERS FOR WHICH THE MEETING MAY BE CLOSED TO THE PUBLIC**

In accordance with Clause 5.2 of the City's *Meeting Procedures Local Law 2013*, this meeting is not open to the public.

## **7 PETITIONS AND DEPUTATIONS**

Nil.

## 8 REPORTS

### Disclosure of Interest Affecting Impartiality

<b>Name / Position</b>	<b>Cr Hamilton-Prime, JP.</b>
<b>Meeting Type</b>	Audit and Risk Committee.
<b>Meeting Date</b>	13 November 2023.
<b>Item No. / Subject</b>	Item 8.1 - Appointment of External Member to the Audit and Risk Committee.
<b>Nature of Interest</b>	Interest that may affect Impartiality.
<b>Extent of Interest</b>	One of the candidates is known to Cr Hamilton-Prime.

### 8.1 CONFIDENTIAL - APPOINTMENT OF EXTERNAL MEMBER TO THE AUDIT AND RISK COMMITTEE (WARD – ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	107022, 101515
<b>AUTHORITY / DISCRETION</b>	Executive - The substantial direction setting and oversight role of Council, such as adopting plans and reports, accepting tenders, directing operations, setting and amending budgets.

This report is confidential in accordance with Section 5.23(2)(a) of the *Local Government Act 1995*, which permits the meeting to be closed to the public for business relating to the following:

(b) *the personal affairs of any person.*

A full report is provided to Elected Members under separate cover. The report is not for publication.

*The Director Governance and Strategy entered the Room at 6.07pm.*

**OFFICER'S RECOMMENDATION MOVED Cr Raftis, SECONDED Cr Hamilton-Prime that Council AUTHORISES the Chief Executive Officer, the Presiding Member and one other member of the Audit and Risk Committee to interview the preferred candidate/s for the position of external member to the Audit and Risk Committee, with a further report to be submitted to Council recommending formal appointment, noting that Council has the option of appointing more than one external member to the Committee.**

**AMENDMENT MOVED Cr Kingston SECONDED Cr Raftis that the Motion BE AMENDED to read as follows:**

***“That Council AUTHORISES the Presiding Member, and two other members of the Audit and Risk Committee to interview the preferred candidate/s for the position of external member to the Audit and Risk Committee, with a further report to be submitted to Council recommending formal appointment, noting that Council has the option of appointing more than one external member to the Committee.”***

**The Amendment was Put and**

**CARRIED (6/1)**

**In favour of the Amendment:** Cr Raftis, Cr Hamilton-Prime, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.  
**Against the Amendment:** Mayor Jacob.

**AMENDMENT MOVED Cr Kingston SECONDED Cr Raftis that the Motion BE AMENDED to read as follows:**

***“That Council AUTHORISES the Presiding Member, and Councillors O'Neill and Kingston to interview the preferred candidate/s for the position of external member to the Audit and Risk Committee, with a further report to be submitted to Council recommending formal appointment, noting that Council has the option of appointing more than one external member to the Committee.”***

**The Amendment was Put and**

**CARRIED (7/0)**

**In favour of the Amendment:** Cr Raftis, Mayor Jacob, Cr Hamilton-Prime, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.  
**Against the Amendment:** Nil.

**AMENDMENT MOVED Cr Raftis SECONDED Cr Kingston that the Motion BE AMENDED to read as follows:**

***“That Council AUTHORISES the Presiding Member, and Councillors O'Neill and Kingston to interview the preferred candidate/s for the position of external member to the Audit and Risk Committee, being:***

- 1**      ***Candidate 1;***
- 2**      ***Candidate 4;***
- 3**      ***Candidate 8;***
- 4**      ***Candidate 11;***

***with a further report to be submitted to Council recommending formal appointment, noting that Council has the option of appointing more than one external member to the Committee.”***

**The Amendment was Put and**

**CARRIED (7/0)**

**In favour of the Amendment:** Cr Raftis, Mayor Jacob, Cr Hamilton-Prime, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.  
**Against the Amendment:** Nil.

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**ORIGINAL MOTION AS AMENDED MOVED Cr Raftis SECONDED Cr Hamilton-Prime that Council AUTHORISES the Presiding Member, and Councillors O'Neill and Kingston to interview the preferred candidate/s for the position of external member to the Audit and Risk Committee, being:**

- 1 Candidate 1;**
- 2 Candidate 4;**
- 3 Candidate 8;**
- 4 Candidate 11;**

**with a further report to be submitted to Council recommending formal appointment, noting that Council has the option of appointing more than one external member to the Committee.**

**The Motion was Put and**

**CARRIED (7/0)**

**In favour of the Motion:** Cr Raftis, Mayor Jacob, Cr Hamilton-Prime, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.

**Against the Motion:** Nil.



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## 8.2 REVISED RISK MANAGEMENT FRAMEWORK (WARD – ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	49586, 101515
<b>AUTHORITY / DISCRETION</b>	Executive - The substantial direction setting and oversight role of Council, such as adopting plans and reports, accepting tenders, directing operations, setting and amending budgets.

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### PURPOSE

For Council to consider and endorse the revised *Risk Management Framework*.

### EXECUTIVE SUMMARY

The City's *Risk Management Framework* (Framework) has undergone a major review following Council adoption of the revised *Risk Management Policy* in August 2022 (CJ135-08/22 refers), the updated Australian Standard *AS ISO 31000:2018 Risk Management – Guidelines* and improvements made during the development of the strategic risk register.

*It is therefore recommended that Council ENDORSES the revised Risk Management Framework forming Attachment 1 to this Report.*

### BACKGROUND

The City's risk management arrangements are reviewed to ensure an integrated and consistent approach across the City for the identification, assessment and treatment of risks.

The Framework provides guidance to implement the *Risk Management Policy* through integrating risk management into City activities. Use of the Framework provides the ability to demonstrate clear evidence based decision making in the achievement of objectives.

Amendments to the current Framework were endorsed by Council in November 2020 (CJ17-11/20 refers). Please refer to Attachment 2 for current branded Framework.

### DETAILS

The revised Framework enhances the guidance for meeting risk management requirements. The *Risk Matrix* (attachment to the Framework) has been re-designed in line with improvements made during the development of the strategic risk register.



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**Risk management considerations**

The amendments and updates are necessary to improve the integration and consistency of risk management practices across all City functions; including a consistent approach in line with the strategic risk process. This review ensures that the Framework evolves to meet the needs of the City.

The revised Framework ensures there will be evidence of the appropriateness and effectiveness of systems and procedures regarding risk management, internal control and legislative compliance, as required by the *Local Government (Audit) Regulations 1996*.

The management of risk is not an isolated function and should be an integral part of organisational culture, through the creation and updating of policies, protocols, plans, systems, and processes. The effective use of risk management will ensure the City's readiness to manage the delivery of critical services with the least impact possible following a disruptive risk event.

**Financial / budget implications**

Adoption and implementation of the Framework will be done using budgeted resources.

**Regional significance**

Effective and consistent approach to management of risk enhances the City's capability to deliver services to the District, and beyond, as required.

**Sustainability implications**

Effective and consistent approach to management of risk enhances the City's capability to operate sustainably.

**Consultation**

Internal consultation with relevant officers and external engagement with relevant subject matter experts and authorities.

**COMMENT**

Once implemented, the revised Framework will allow improvement in the risk management considerations of Council and Committee reports. It is anticipated that this work will commence once all inherent and residual risk ratings have been re-assessed for Operational Risk Registers.

**VOTING REQUIREMENTS**

Simple Majority.

*The Manager Governance left the Room at 7.03pm.*

**OFFICER'S RECOMMENDATION MOVED Cr Hamilton-Prime, SECONDED Mayor Jacob that Council ENDORSES the revised Risk Management Framework forming Attachment 1 to this Report.**

**PROCEDURAL MOTION - THAT THE ITEM BE DEFERRED**

**MOVED Cr Kingston, SECONDED Cr Raftis that Item 8.2 Revised Risk Management Framework, BE DEFERRED to the next Audit and Risk Committee Meeting to be held on 11 March 2024, as per clause 10.1(a) of the *City of Joondalup Meeting Procedures Local Law 2013*.**

**The Motion was Put and**

**CARRIED (5/2)**

**In favour of the Motion:** Cr Raftis, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.

**Against the Motion:** Mayor Jacob and Cr Hamilton-Prime.

**ATTACHMENTS**

1. Revised Framework [8.2.1 - 23 pages]
2. Current Framework [8.2.2 - 20 pages]

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### 8.3 STRATEGIC RISK REGISTER (WARD – ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	10011, 101515
<b>AUTHORITY / DISCRETION</b>	Executive - The substantial direction setting and oversight role of Council, such as adopting plans and reports, accepting tenders, directing operations, setting and amending budgets.

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#### PURPOSE

For Council to consider and endorse the City's *Strategic Risk Register*.

#### EXECUTIVE SUMMARY

The Chief Executive Officer is required to ensure the identification and management of strategic risks, with the Executive Leadership Team required to manage the strategic risk portfolio including raising new risks as they arise and ensuring mitigation strategies are appropriate and effective. The Audit and Risk Committee is required to review the strategic risks to the City and the plans to minimise or respond to those risks.

*It is therefore recommended that Council ENDORSES the City's Strategic Risk Register forming Attachment 1 to this Report.*

#### BACKGROUND

The *Risk Management Policy* outlines the City's commitment and approach to managing risks. Risks are to be recorded, analysed and reported, based on the context of the individual risk and the risk portfolio it belongs to.

The *Risk Management Framework* requires a strategic risk portfolio, which outlines risks of an internal or external nature that affect the achievement of the City's long-term objectives defined by the *Strategic Community Plan*. This category of risk requires input from Council.

The draft strategic risk register has been updated to align with the new *Strategic Community Plan 2032*.

#### DETAILS

The draft strategic risk register reflects an assessment of strategic risks to the City which could, inter alia, impact on the delivery of the City's *Strategic Community Plan 2032*.

The risks have been identified through a process of feedback from Elected Members at the Strategic Development weekend, consultation by the senior executive – Chief Executive Officer, Directors and Managers – and consideration of assessed operational and project risks and the City’s documented control processes.

The City has done a gap analysis using the JLT Public Sector Risk Report to compare the City’s draft strategic risk register with the risks to the public sector identified by Chief Executive Officers and senior executives of public sector organisations throughout Australia.

The 12 strategic risks identified have undergone internal review and analysis including assigning risk owners and controls, assessing control effectiveness and determining current risk rating.

### Current risk rating

The current risk rating for each strategic risk has been considered using the risk matrix below along with evaluating overall control effectiveness.

CONSEQUENCE	LIKELIHOOD DESCRIPTORS		
	IMPROBABLE	POSSIBLE	PROBABLE
	Risk is unlikely to occur	Risk could occur, but not certain	Risk is likely to occur
<b>ACCEPTABLE</b> Little or no effect on objectives	Low	Low	Medium
<b>TOLERABLE</b> Effects are noticeable but not critical to objectives	Low	Medium	Medium
<b>UNDESIRABLE</b> Serious impact to the course of action or objectives	Medium	Medium	High
<b>INTOLERABLE</b> Could result in disaster	High	High	Extreme

### Legislation / Strategic Community Plan / Policy implications

**Legislation**                      *Local Government (Audit) Regulations 1996.*

### 10-Year Strategic Community Plan

**Key theme**                      The Strategic Risk Register has implications for all five goals. It relates most closely to Key theme 5. Leadership.

Relevant to:

1. Community
2. Environment
3. Place
4. Economy.

**Outcome**                      Most directly:

5-1 Capable and effective - you have an informed and capable Council backed by a highly-skilled workforce.

5-4 Responsible and financially sustainable – you are provided with a range of City services which are delivered in a financially responsible manner.

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**Policy** Relates to the City's *Risk Management Policy* (see below).

### **Risk management considerations**

The development of a strategic risk register supports the objective of the City's *Risk Management Policy* which outlines the City's commitment and approach for managing risks that may impact on the achievement of its objectives.

This provides evidence of the appropriateness and effectiveness of systems and procedures in regard to risk management, internal control and legislative compliance, as required by the *Local Government (Audit) Regulations 1996*.

Risk management is an important part of organisational capability, relying on policies, protocols, plans, systems and processes. The effective use of risk management i) ensures the City's readiness to maintain delivery of services; and ii) reduces the likelihood of potentially disruptive risk events occurring.

### **Financial / budget implications**

Risk assessment is carried out using existing budgeted resources.

### **Regional significance**

Delivery of services, and the *Strategic Community Plan*, is affected by, and has impact on, social, economic and environmental developments across the region serviced by the City of Joondalup.

### **Sustainability implications**

The sustainability of the City's operations depends on effective identification and management of risks at the strategic and operational level. Environmental sustainability is part of the goals of the City's *Strategic Community Plan*.

### **Consultation**

Risks were assessed against the classifications within the City's *Risk Management Framework*.

Risk consultation sessions have been held with each Director and Business Unit Manager.

Inputs included challenges identified by Elected Members at the most recent Elected Member Strategic Weekend, in February 2022.

A draft strategic risk assessment was presented to Elected Members at the Strategy Session held on 4 October 2022 and to the Audit and Risk Committee on 16 November 2022.

A draft strategic risk register was presented to Elected Members at the Strategy Session on 5 September 2023, and the Audit and Risk Committee on 13 November 2023.

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**COMMENT**

If adopted by Council, the strategic risk register will be presented to the Audit and Risk Committee on an annual basis for review.

**VOTING REQUIREMENTS**

Simple Majority.

*Mayor Jacob left the Room at 7.28pm.*

**OFFICER'S RECOMMENDATION MOVED Cr Raftis, SECONDED Cr Pizzey that Council ENDORSES the City's *Strategic Risk Register* forming Attachment 1 to this Report.**

**PROCEDURAL MOTION - THAT THE ITEM BE DEFERRED**

**MOVED Cr Kingston, SECONDED Cr Raftis that Item 8.3 Strategic Risk Register, BE DEFERRED to the next meeting of the Audit and Risk Committee to be held on 11 March 2024, as per clause 10.1(a) of the *City of Joondalup Meeting Procedures Local Law 2013*.**

**The Motion was Put and**

**CARRIED (5/1)**

**In favour of the Motion:** Cr Raftis, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.

**Against the Motion:** Cr Hamilton-Prime.

**ATTACHMENTS**

1. Strategic Risk Register [8.3.1 - 1 page]



## 8.4 ELECTED MEMBER DINNER REPORT QUARTER 1 (JULY - SEPTEMBER 2023) (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr Jamie Parry Director Governance and Strategy
<b>FILE NUMBER</b>	110756, 101515
<b>AUTHORITY / DISCRETION</b>	Information – includes items provided to Council for information purposes only that do not require a decision of Council (that is for ‘noting’).

### PURPOSE

For the Audit and Risk Committee to note attendees to Elected Member Dinners as per Clause 10 of the *Elected Members’ Entitlements Policy*, which provides that *details of invited guests that attend elected member dinners are to be reported to the Audit and Risk Committee on a quarterly basis.*

### EXECUTIVE SUMMARY

Elected Members are entitled under the *Elected Members’ Entitlement Policy* (the Policy) to host up to six dinners per financial year and invite up to nine guests to each dinner.

Clause 10 of the *Elected Members’ Entitlements Policy* provides that *details of invited guests that attend elected member dinners are to be reported to the Audit and Risk Committee on a quarterly basis.*

For an Elected Member Dinner to occur a quota of three Councillors are required to host tables.

*It is therefore recommended that the Audit and Risk Committee NOTES the attendance list of those attending the Elected Member Dinner held between July and September 2023.*

### BACKGROUND

Elected member dinners are a provision within the *Elected Members’ Entitlement Policy*. At its meeting held on 18 May 2021 (CJ072-05/21 refers), Council reviewed and endorsed the policy with clause 10.1 identifying the parameters relating to elected member dinners as follows:

- “a To provide an avenue to facilitate networking possibilities and for elected members to undertake discussions with various representatives of the community, the Council has agreed to host Elected Member dinners.
- b The Mayor is entitled to host six dinners per calendar year, and each Ward a total of 12 each year, based on six dinners per Ward Councillor.
- c Each table will allow for the Elected Member as host, plus up to a maximum of nine guests. Except for the Elected Member’s spouse or partner, all guests invited are to have a relationship with the City or be a stakeholder of the City. Prior to an Elected Member dinner, elected members are to advise the City the details of their invited guests and their relationship with the City. Details of invited guests that attend elected member dinners are to be reported to the Audit and Risk Committee on a quarterly basis.”

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**DETAILS**

Elected Members are entitled, under the *Elected Members' Entitlement Policy* (the Policy), to host up to six dinners per financial year and invite up to nine guests to each dinner.

Clause 10 of the *Elected Members' Entitlements Policy* provides that “*details of invited guests that attend elected member dinners are to be reported to the Audit and Risk Committee on a quarterly basis.*”.

**Issues and options considered**

The Committee may accept the report as presented or request further information.

**Legislation / Strategic Community Plan / Policy implications**

**Legislation**                      *Local Government Act 1995.*

**10-Year Strategic Community Plan**

**Key theme**                      5. Leadership.

**Outcome**                      5-2 Proactive and represented- you are confident that the City is advocating on your behalf for initiatives that benefit the community.

**Policy**                              *Elected Members' Entitlements Council Policy.*

**Risk management considerations**

Not applicable.

**Financial / budget implications**

*The 2023-24 budget* for elected member dinners is \$10,000 (excluding staffing costs).

All amounts quoted in this report are exclusive of GST.

**Regional significance**

Not applicable.

**Sustainability implications**

Not applicable.

**Consultation**

Not applicable.

**COMMENT**

Elected Members are entitled, under the *Elected Members' Entitlement Policy*, to host up to six dinners per financial year and invite up to nine guests to each dinner.

Clause 10 of the *Elected Members' Entitlements Policy* provides that *details of invited guests that attend elected member dinners are to be reported to the Audit and Risk Committee on a quarterly basis.*

Quarter 1, two elected member dinners were held during the quarter, being on Friday 28 July and Friday 25 August 2023.

Due to caretaker period being in place, there was no elected member diner held in September 2023.

## **VOTING REQUIREMENTS**

Simple Majority.

*Cr Hamilton-Prime left the Room at 7.35pm.*

**OFFICER'S RECOMMENDATION MOVED Cr Raftis, SECONDED Cr Hamilton-Prime that the Audit and Risk Committee NOTES the attendance list of those attending the Elected Member Dinner held between July and September 2023.**

**The Motion was Put and**

**CARRIED (5/0)**

**In favour of the Motion:** Cr Raftis, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.

**Against the Motion:** Nil.

## **ATTACHMENTS**

1. CONFIDENTIAL REDACTED - RSVP Elected Member Dinner - 28 July 2023 [8.4.1 - 2 pages]
2. CONFIDENTIAL REDACTED - RSVP Elected Member Dinner - 25 August 2023 [8.4.2 - 2 pages]

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## 8.5 ANNUAL CORPORATE COMPLIANCE CALENDAR (WARD – ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr Jamie Parry Director Governance and Strategy
<b>FILE NUMBER</b>	110921, 101515
<b>AUTHORITY / DISCRETION</b>	Information – includes items provided to Council for information purposes only that do not require a decision of Council (that is for ‘noting’).

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### PURPOSE

For the Audit and Risk Committee to note the updated Annual Corporate Compliance Calendar.

### EXECUTIVE SUMMARY

Local government operations and day-to-day business are governed and regulated by a vast array of legislation. The broad nature of this legislation requires the City to maintain a high degree of monitoring and oversight to ensure the City is complying with its legislative responsibilities and reporting requirements. As part of the City’s corporate risk oversight, the City’s Corporate Compliance Calendar was developed and endorsed in 2014 as a mechanism to monitor the City’s legislative reporting and compliance regime.

The Corporate Compliance Calendar (Attachment 1 refers) has been reviewed through an assessment of the legislative responsibilities affecting local governments, against the WALGA template, and in consultation with Business Unit Managers and Directors. The calendar is not a static tool and can be added to or changed, as and when the need arises.

*It is therefore recommended that the Audit and Risk Committee notes the updated Annual Corporate Compliance Calendar as provided in Attachment 1 to this Report.*

### BACKGROUND

At its meeting held on 24 September 2013 (CJ190-09/13 refers), Council adopted a *Risk Management Policy* and endorsed the City’s *Risk Management Framework* as a mechanism to raise the profile of risk, improve the City’s approach to risk and embed risk management across all the City’s systems and processes.

As part of the framework’s implementation, a Corporate Risk Register was developed which included the identification of a number of actions to monitor and minimise risk across a range of the City’s organisational activities. One control action was the need to develop a Corporate Compliance Calendar to monitor the City’s compliance with legislative obligations and respond to new legislation that places obligations on the City.

At the Executive Leadership Team (ELT) meeting held on 28 July 2014, the Chief Executive Officer (CEO) endorsed the City's inaugural Corporate Compliance Calendar.

As part of the CEO's three yearly review of risk management, internal control and legislative compliance, the City's Auditor has recommended that the City updates and actively uses the Annual Corporate Compliance Calendar to ensure that compliance with legislative requirements are met in a timely manner.

The Corporate Compliance Calendar (Attachment 1 refers) has been reviewed through an assessment of the legislative responsibilities affecting local governments, against the WALGA template, and in consultation with Business Unit Managers and Directors. The calendar is not a static tool and can be added to, as and when the need arises.

The calendar is updated on a monthly basis and reported through to the CEO on a monthly basis to monitor the City's legislative obligations as well as to identify areas of upcoming legislative responsibility that may need to commence.

## DETAILS

At the Council meeting held on 19 September 2023 (CJ186-09/23 refers), Council resolved, in part, to:

*"2.3 present the updated Risk Registers and Corporate Compliance Calendar to a future Audit and Risk Committee meeting, prior to the end of 2023, for consideration."*

This report is presented to the Audit and Risk Committee in accordance with Council's decision of 19 September 2023.

## Issues and options considered

The Council may choose to:

- note the Corporate Compliance Calendar
- accept the Corporate Compliance Calendar on an annual basis for noting or
- accept the Corporate Compliance Calendar on a quarterly basis for noting.

## Legislation / Strategic Community Plan / Policy implications

**Legislation**                      *Local Government Act 1995.*

### 10-Year Strategic Community Plan

**Key theme**                      5. Leadership.

**Outcome**                      5-1 Capable and effective - you have an informed and capable Council backed by a highly-skilled workforce.

**Policy**                              Not applicable.

## Risk management considerations

The Corporate Compliance Calendar is a useful tool to ensure that the City's legislative responsibilities are being met.

**Financial / budget implications**

Not applicable.

**Regional significance**

Not applicable.

**Sustainability implications**

Not applicable.

**Consultation**

The revised Corporate Compliance Calendar was developed in consultation with all Directors and Business Unit Managers, as well as using the WALGA template and other resources as a guide.

**COMMENT**

The Corporate Compliance Calendar offers a simple but effective way for the City and the CEO to monitor a local government's legislative reporting responsibilities. Items in the calendar can be added to as and when the need arises and will require the cooperation of Business Units to ensure that accurate information is recorded.

**VOTING REQUIREMENTS**

Simple Majority.

**OFFICER'S RECOMMENDATION**

That the Audit and Risk Committee NOTES the Annual Corporate Compliance Calendar as provided in Attachment 1 to this Report.

**ALTERNATE MOVED Cr Raftis, SECONDED Cr Kingston that the Motion be AMENDED to read as follows:**

**That the Audit and Risk Committee:**

- 1 NOTES the Annual Corporate Compliance Calendar as provided in Attachment 1 to this Report;**
- 2 RECEIVES the updated Annual Corporate Compliance Calendar at each Ordinary Committee meeting, for noting.**

**The Alternate was Put and**

**CARRIED (5/0)**

**In favour of the Alternate:** Cr Raftis, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.

**Against the Alternate:** Nil.

**ATTACHMENTS**

1. 2023 Corporate Compliance Calendar - A& R [8.5.1 - 24 pages]

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## 8.6 CHIEF EXECUTIVE OFFICER - MONITORING OF ANNUAL LEAVE AND LONG SERVICE LEAVE ACCRUALS (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr Jamie Parry Director Governance and Strategy
<b>FILE NUMBER</b>	74574, 108783, 101515
<b>AUTHORITY / DISCRETION</b>	Information – includes items provided to Council for information purposes only that do not require a decision of Council (that is for ‘noting’).

---

### PURPOSE

For the Audit and Risk Committee to note the annual leave and long service leave accruals for the Chief Executive Officer.

### EXECUTIVE SUMMARY

At the Audit and Risk Committee meeting held on 9 August 2021 a report (Item 3 refers) was presented on the outcomes of an internal audit into payments made to former employees (Chief Executive Officer, Directors and Managers).

At this meeting, a report was requested in relation to the establishment of a reporting system for the Chief Executive Officer’s leave accruals. This report is intended to be provided annually to inform the Committee of the Chief Executive Officer’s leave accruals, as requested.

*It is therefore recommended that the Audit and Risk Committee NOTES the annual and long service leave accruals for the Chief Executive Officer as at 7 November 2023.*

### BACKGROUND

The current Chief Executive Officer’s contract includes the following clause:

*“14.4 The Chief Executive Officer must take annual leave regularly to prevent more than 8 weeks of annual leave accruing at any time. In the event that the Chief Executive Officer has annual leave accrued beyond 8 weeks, the Council may direct the Chief Executive Officer to take the amount of leave accrued in excess of 8 weeks, on giving the Chief Executive Officer four (4) weeks’ notice. The Chief Executive Officer agrees to comply with such a direction.”*

At the Audit and Risk Committee meeting held on 9 August 2021 a report was requested in relation to the establishment of a reporting system for the Chief Executive Officer’s leave accruals.

---

**DETAILS**

A control, in the form of regular reports on accrued leave, shows the number of days of accrued leave for the Chief Executive Officer, for:

- annual leave (not including future leave booked)
- annual leave (including future leave booked)
- long service leave (not including future leave booked)
- long service leave (including future leave booked)
- total combined leave (including future leave booked).

An annual report will be presented to the Audit and Risk Committee detailing the number of days of leave accrued by the Chief Executive Officer. As of 7 November 2023, the Chief Executive Officer has the following leave accrued:

- annual leave (not including future leave booked) – 20 days.
- annual leave (including future leave booked) – 12 days.
- long service leave (not including future leave booked) – 0 days.
- long service leave (including future leave booked) – 0 days.
- total combined leave (including future leave booked) – 12 days.

**Legislation / Strategic Community Plan / Policy implications**

**Legislation** Not applicable.

**10-Year Strategic Community Plan**

**Key theme** 5. Leadership.

**Outcome** 5-4 Responsible and financially sustainable - you are provided with a range of City services which are delivered in a financially responsible manner.

**Policy** Not applicable.

**Risk management considerations**

The accrual of excessive leave presents a risk to the City, including financial liability for the City and health and welfare risks for employees. In certain circumstances excessive accrued leave may also be considered as a red flag for fraudulent behaviours.

**Regional significance**

Not applicable.

**Sustainability implications**

Not applicable.



**Consultation**

Not applicable.

**COMMENT**

This control will provide transparent and regular reporting of leave accruals for the Chief Executive Officer to assist in the effective monitoring and management of excessive leave.

**VOTING REQUIREMENTS**

Simple Majority.

*Cr Hamilton-Prime entered the Room at 7.39pm.*

**OFFICER'S RECOMMENDATION MOVED Cr Raftis, SECONDED Cr O'Neill that the Audit and Risk Committee NOTES the annual and long service leave accruals for the Chief Executive Officer as at 7 November 2023.**

**The Motion was Put and**

**CARRIED (6/0)**

**In favour of the Motion:** Cr Raftis, Cr Hamilton-Prime, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.

**Against the Motion:** Nil.

**ATTACHMENTS**

Nil

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## 8.7 CONFIDENTIAL - CORPORATE CREDIT CARD STATEMENTS (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr Mat Humfrey Director Corporate Services
<b>FILE NUMBER</b>	18049, 101515
<b>AUTHORITY / DISCRETION</b>	Information – includes items provided to Council for information purposes only that do not require a decision of Council (that is for 'noting').

---

This report is confidential in accordance with Section 5.23(2)(a) of the *Local Government Act 1995*, which permits the meeting to be closed to the public for business relating to the following:

(a) *a matter affecting an employee or employees.*

A full report is provided to Elected Members under separate cover. The report is not for publication.

**OFFICER'S RECOMMENDATION MOVED Cr Kingston, SECONDED Cr Hamilton-Prime that the Audit and Risk Committee NOTES the copies of corporate credit card statements for July 2023 to September 2023.**

**The Motion was Put and**

**CARRIED (6/0)**

**In favour of the Motion:** Cr Raftis, Cr Hamilton-Prime, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.

**Against the Motion:** Nil.

*The Director Governance and Strategy left the Room at 7.52pm.*

## 8.8 CONFIDENTIAL - CHIEF EXECUTIVE OFFICER'S CREDIT CARD EXPENDITURE (JULY- SEPTEMBER 2023) (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr Mat Humfrey Director Corporate Services
<b>FILE NUMBER</b>	09882, 101515
<b>AUTHORITY / DISCRETION</b>	Information – includes items provided to Council for information purposes only that do not require a decision of Council (that is for 'noting').

This report is confidential in accordance with Section 5.23(2)(a) of the *Local Government Act 1995*, which permits the meeting to be closed to the public for business relating to the following:

(b) *the personal affairs of any person.*

A full report is provided to Elected Members under separate cover. The report is not for publication.

**OFFICER'S RECOMMENDATION MOVED Cr Hamilton-Prime, SECONDED Cr Raftis that the Audit and Risk Committee:**

- 1 **NOTES** the report on the corporate credit card usage of the Chief Executive Officer for the quarter ended 30 September 2023;
- 2 **NOTES** that corporate credit usage of the Chief Executive Officer is now reported monthly to Council;
- 3 **AGREES** that a separate quarterly report on the corporate credit card usage of the Chief Executive Officer is no longer required to be prepared and presented to the Audit and Risk Committee.

**AMENDMENT MOVED Cr Kingston, SECONDED Cr Hamilton-Prime that the Motion be AMENDED to read as follows:**

*"That Council:*

- 1 *NOTES* the report on the corporate credit card usage of the Chief Executive Officer for the quarter ended 30 September 2023;
- 2 *NOTES* that corporate credit card usage of the Chief Executive Officer is now reported monthly to Council;
- 3 *BY AN ABSOLUTE MAJORITY REVOKES Part 3 of its decision of 11 October 2005 (CJ210-10/05 refers) as follows:*

*"REQUESTS that the Director of Corporate Services and Resource Management prepare a quarterly report for the Audit Committee on the corporate credit card usage of the CEO and Mayor."*

The Amendment was Put and

**CARRIED (6/0)**

In favour of the Amendment: Cr Raftis, Cr Hamilton-Prime, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.  
Against the Amendment: Nil.

---

**The Original Motion as Amended being MOVED Cr Hamilton-Prime, SECONDED Cr Raftis that Council:**

- 1** NOTES the report on the corporate credit card usage of the Chief Executive Officer for the quarter ended 30 September 2023;
- 2** NOTES that corporate credit card usage of the Chief Executive Officer is now reported monthly to Council;
- 3** **BY AN ABSOLUTE MAJORITY REVOKES** Part 3 of its decision of 11 October 2005 (CJ210-10/05 refers) as follows:

***“REQUESTS that the Director of Corporate Services and Resource Management prepare a quarterly report for the Audit Committee on the corporate credit card usage of the CEO and Mayor.”***

**The Motion was Put and**

**CARRIED (6/0)**

**In favour of the Motion:** Cr Raftis, Cr Hamilton-Prime, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.

**Against the Motion:** Nil.

**9 URGENT BUSINESS**

Nil.

**10 MOTIONS OF WHICH PREVIOUS NOTICE HAS BEEN GIVEN**

Nil.

**11 REQUESTS FOR REPORTS FOR FUTURE CONSIDERATION**

Nil.

**12 CLOSURE**

There being no further business, the Presiding Member declared the meeting closed at 8.17pm the following Committee Members being present at that time:

CR JOHN RAFTIS  
CR REBECCA PIZZEY  
CR LEWIS HUTTON  
CR DANIEL KINGSTON  
CR ROHAN O'NEILL  
CR CHRISTINE HAMILTON-PRIME, JP

**13 NOVEMBER 2023 - AUDIT AND RISK COMMITTEE -  
AGENDA ATTACHMENTS**

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**City of Joondalup** Risk Management Framework

**1**

## **City of Joondalup** Risk Management Framework

**City of Joondalup** Risk Management Framework

**2**



**City of Joondalup Risk Management Framework 3****CONTENTS**

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Document Owner: Audit, Risk and Executive Services

Last Review Date: [Month and Year]

Last Council Endorsement Date: [Month and Year]

**City of Joondalup Risk Management Framework**

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**Risk terms used in this document****Business Continuity**

Ability of an organisation to continue delivering its services in times of crisis (during a risk event)

**Controls**

Existing (implemented) activities that manage risk that can be evidenced and performance measured.

**Control Effectiveness**

Performance rating of controls managing a single risk or an individual control's success in meeting its own objectives.

**Control or Treatment Stakeholder**

Person or group responsible for conducting or implementing control or treatment activities.

**Corruption Risk**

Risk of an employee (at any level), elected member or contractor using their position to achieve advantage for themselves or others, not in the interest of the City.

**Fraud Risk**

Risk that involves deception and/or dishonesty causing actual or potential financial loss

**Hazard**

An object, situation or behaviour that has the potential to cause injury, ill health, or damage to property or environment, cause a risk event.

**Inherent Risk**

Level of risk exposure before considering effectiveness of any existing controls.

**Mitigation**

Generic term for actions taken to reduce the level of risk, managing causes, consequences and/or likelihood.

**Reportable Risk**

Risks defined as being required to be reported/escalated within the reporting section of this document.

**Residual Risk**

Current risk level after considering effectiveness of controls.

**Risk**

Possible event that if it occurs, will impact the ability to meet objectives.

**Risk Appetite**

Willingness of the City to take risk.

**Risk Assessment**

A document outcome of the processes that identify, analyse and evaluate risks.

**Risk Category**

Defined name given to a group of risks that are managed by the lifespan and timeframe they occur in.

**Risk Champion**

Person with competent skills in risk management, including applying this Framework, that actively engages business groups to facilitate risk discussions.

**Risk Classification**

Defined name given to an area of risk impact.

**Risk Level or Rating**

Level of risk calculated by multiplying values assigned to likelihood and consequence.

**Risk Management**

Term for coordinated group of activities that direct and control risk exposure.

**Risk Management Framework**

Internal document outlining the process and responsibilities for managing risk.

**Risk Management Plan**

Documented intentions to manage risk for a given activity or group of activities describing the approach and resources.

**Risk Management Policy**

Public document outlining the commitment and approach to managing risk.

**Risk Manager/s (Portfolio)**

Person or group with the authority to accept responsibility, on behalf of the City, for risks within an entire risk portfolio.

**Risk Owner (Individual)**

Person with authority to accept responsibility for individual risks, on behalf of the City.

**Risk Portfolio**

Administrative grouping of risks based on risk category and responsibility.

**City of Joondalup Risk Management Framework**

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**Risk Register**

List of all significant risks for an activity or group of activities.

**Treatments**

Intended activities or processes that aim to modify risk exposure or improve control performance.

**Treatment Plan**

Documented account of activities that aim to alter exposure to a risk event.

**City of Joondalup Risk Management Framework**

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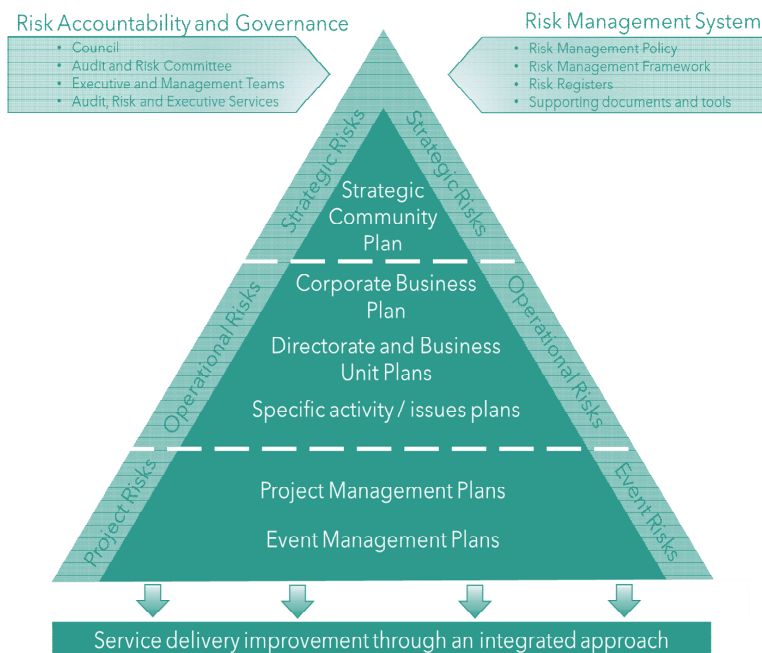
**Introduction**

The *Risk Management Policy* (the Policy) outlines the City’s commitment and approach to managing risks. Risks are to be recorded, analysed and reported, based on the context of the individual risk and the risk portfolio it belongs to.

The *Risk Management Framework* (the Framework) provides the guidance to put the Policy into practice through integration of risk management into City activities. Use of the Framework provides the ability to demonstrate clear evidence based decision making in the achievement of objectives.

Effective risk management is central to the City’s operations and activities whilst delivering a diverse range of services to its many customers and stakeholder groups. This requires sound corporate governance and the integration of good risk management practices within processes, planning, reporting and performance measurement.

*Integrated Planning and Risk Alignment*



City of Joondalup Risk Management Framework

**Governance**

Risk management governance is provided through the structured approach to risk management capturing roles, responsibilities and accountabilities. This approach is commonly referred to as the **three lines of defence**.

All lines of defence have the responsibility to provide assurance to the Chief Executive Officer and Executive Leadership Team and Council (via the Audit and Risk Committee) that risk is being managed at the highest level possible with available resources.

**First line of defence:** Relates to those who are responsible for identifying and managing risk as part of their accountability in achieving objectives. Collectively, they require the necessary knowledge, skills, information and authority to apply the relevant policies and procedures for risk control. An understanding of organisational objectives is required, the environment in which the organisation operates and the risks it faces.

**Second line of defence:** This provides the policies, frameworks, tools, techniques and support to enable risk and compliance to be managed in the first line. This incorporates the documented guidance for risk management and other documented guidance that requires compliance and contributes to risk control, for example in the areas of finance and information technology.

**Third line of defence:** This is provided by internal audit and is independent to the first two lines of defence, it ensures that the first two lines are operating effectively and advise how they could be improved. Internal audit reports to the Audit and Risk Committee, providing evaluation through a risk-based approach, on the effectiveness of governance, risk management, and internal control to the Chief Executive Officer and Executive Leadership Team and Council (via the Audit and Risk Committee). It also provides assurance of risk control in the achievement of objectives.



**City of Joondalup Risk Management Framework**

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The City has adopted the use of the *AS ISO Standard 31000:2018 Risk Management – Guidelines* (the Standard) with tailoring that suits City practices to formulate the approach to risk management, primarily based on principles contained within the Standard.

*AS ISO 31000 Risk principles (inner circle) and City activities that demonstrate principles (outer circle)*



**City of Joondalup Risk Management Framework****9****Benefits of Good Risk Management**

- Greater likelihood of achieving City objectives
- Compliance with legislative requirements
- Improving stakeholder trust and confidence
- Encouraging decisive leadership rather than management of crisis
- Better information for decision making
- Reducing unexpected and costly surprises
- Better results from projects and activities
- More effective and efficient allocation of resources
- Balancing opportunity and risk
- Enhanced accountability and corporate governance
- Assisting in obtaining insurance cover
- Reduction of fraud and corruption incidents

**City of Joondalup Risk Management Framework****10****Roles and Responsibilities****Council**

- Adopt the *Risk Management Policy*.
- Endorse the *Risk Management Framework*.
- Review the appropriateness of risk attitude (or appetite).
- Provide input into the management of risk reported.
- Receive reports from the Audit and Risk Committee including the Chief Executive Officer's Report in relation to risk management, internal control and legislative compliance as required by the *Local Government (Audit) Regulations 1996*.

**Audit and Risk Committee**

- Guide and assist the City in carrying out its functions:
  - under part 6 – *Financial Management, of the Local Government Act 1995*.
  - in relation to audits conducted under Part 7 – *Audit, of the Local Government Act 1995*.
  - relating to other audits and other matters related to financial management.
- Review the CEO's report into the appropriateness and effectiveness of the City's systems and procedures in relation to risk management, internal control and legislative compliance, presented to it by the CEO under regulation 17 of the *Local Government (Audit) Regulations 1996* and:
  - report to the Council the results of that review.
  - give the Council a copy of the CEO's report.
- Review the CEO's report into the appropriateness and effectiveness of the City's financial management systems and procedures under regulation 5(2)(c) of the *Local Government (Financial Management) Regulations 1996* and:
  - report to the Council the results of that review.
  - give the Council a copy of the CEO's report.

- Support the auditor of the City to conduct an audit and carry out the auditor's other duties under the *Local Government Act 1995* in respect of the City and to oversee the implementation of any actions in accordance with regulation 16(f) of the *Local Government (Audit) Regulations 1996*.
- Consider the adequacy and effectiveness of internal controls by reviewing reports from the Internal Auditor, the Administration, Office of the Auditor General, consultants and other external oversight agencies as appropriate.
- Enquiring with the Internal Auditor or the Administration about processes to detect and prevent fraud or corruption and to their awareness of any suspected, alleged or actual fraud or corruption and the City's response to it (subject to confidentiality considerations).
- Assessing the adequacy of the annual internal audit plan and the three-year internal audit plan.
- Identify and refer specific projects or investigations deemed necessary through the Chief Executive Officer, the Internal Auditor and the Council if appropriate and receive any reports detailing the results of those investigations.
- Review the strategic risks to the City and the plans to minimise or respond to those risks. This includes assessing whether risks that may prevent the City from achieving its objectives or maintaining its reputation have been identified.



**City of Joondalup Risk Management Framework**

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**Chief Executive Officer**

- Leads and promotes a risk aware culture taking appropriate action as required.
- Ensures the identification and management of strategic risks.
- Ensures establishment of a risk management process that is implemented and maintained in accordance with the *Risk Management Policy*.
- Ensures reviews are undertaken at least once every three years on the:
  - appropriateness and effectiveness of the City's systems and procedures in relation to risk management, internal control and legislative compliance and the appropriateness (as required by Regulation 17 the *Local Government (Audit) Regulations 1996*.
  - effectiveness of the financial management systems and procedures of the City (as required by regulation 5(2)(c) of the *Local Government (Financial Management) Regulations 1996*).
- Ensures results of reviews are reported to Council via the Audit and Risk Committee.

**CEO and Directors****(Executive Leadership Team)**

- Promotes a positive risk culture.
- Ensures inclusion of appropriate risk management in all planning activities.
- Manages the strategic risk portfolio including raising new risks as they arise and ensuring mitigation strategies are appropriate and effective.
- Provides appropriate direction for reported risk (reporting frequency and accuracy) and associated control activities (effectiveness adequacy).

**Directors and Managers****(Executive Management Team)**

- Have authority to accept risk on behalf of the City within the scope of the services specified in Business Unit Plans and Project Plans (Risk Managers and / or Owners).
- Provide leadership through a solid understanding of the City's risk management documentation (such as the Policy and Framework).
- Ensures all planning activities use the City's risk management documentation consistently and effectively.
- Monitors use and effectiveness of risk management within their areas of responsibility including appropriateness of documentation and outcomes.
- Supports attendance to risk based training.
- Identifies and supports development of risk champions to allow further integration of risk management into day to day operations.
- Reviews, updates and reports risk for the Directorate/Business unit specific plans alongside projects as required.
- Ensures risks are reported and actioned appropriately.

**Employees / Volunteers / Contractors**

- Identify and raise potential risks within their area of control.
- Apply effective management of risk.
- Escalate risk information to Supervisors and/or Business Unit Managers.
- Be aware of the City's risk management documentation (such as the Policy and Framework) and how to apply them as applies to their role.

**City of Joondalup Risk Management Framework**

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**Audit, Risk and Executive Services****Manager**

- Reviews the City's risk management documentation (such as the Policy and Framework) alongside feedback received from both internal and external sources.
- Empowers Risk Managers in the management of risk through provision of guidance, tools and appropriate training.
- Ensures periodical risk maturity assessments to highlight areas of improvement.
- Manages strategic risk reporting to Chief Executive Officer (via the Executive Leadership Team).
- Monitors escalation of high and extreme risks (for reporting to the Chief Executive Officer (via the Executive Leadership Team) and Council).

**Internal Auditor**

- Develops a risk-based internal audit program in conjunction with the Chief Executive Officer and Manager Audit and Risk Services.
- Completes internal audit reports detailing observations and making recommendations where appropriate, for risk mitigation and system improvements.
- Provides audit reports to the relevant audience.

**Risk and Business Continuity Advisor**

- Provides guidance on application of risk management processes.
- Administers the City's electronic risk management system for documenting risk.
- Provides advice on the quality of risk items documented.
- Develops and delivers risk training programs as part of the City's Induction Program, the online learning platform and by request.
- Facilitates risk discussions as required/requested.
- Provides input to the review of the City's risk management documentation (such as the Policy and Framework) and associated systems and processes.
- Coordinates strategic and operational risk reporting.

**City of Joondalup Risk Management Framework****13****Risk Management Procedures**

Those with specific responsibility to accept risk on the City's behalf need to ensure that risks are managed in accordance with the responsibilities detailed in this document. They are also responsible for ensuring that the following (measurable) steps take place for risk and its related information:

- Risks are documented as required (see categories in Risk Management Process).
- Risks are to be reviewed at least annually for low and medium risk, and at least quarterly for extreme and high risks. In either case additional reviews need to be undertaken when changes occur that impact the risk or controls.
- Escalations are managed as early as possible and significant issues reported to the Executive Leadership Team.
- Taking action to update risk information, if required, following publication of Risk Reports (monthly for operational, quarterly for strategic).
- Controls that are used to manage strategic risks must be assigned to a Director for sign off.

Support and training are available from Audit, Risk and Executive Services to assist teams in all aspects of risk management.

**City of Joondalup Risk Management Framework**

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**Risk Management Process**

Each person with the authority to accept risk on the City’s behalf is responsible for ensuring the risk management process is undertaken. This process should enable risk to influence decision making from the planning stage onwards and is repeated as required, to ensure acceptable management for the life of each individual risk.

All planning activity is required to use the risk process and is required to document the outcomes and ongoing management using tools and templates that reference the organisational criteria, scope and context defined within this document.

The *Risk Rating Matrix and Risk Assessment Process* has been organised in sequential steps to reflect the risk assessment portion of the Risk Management Process.

**Refer to Attachment 1 for Risk Rating Matrix and Risk Assessment Process**

*Risk Management Process (extracted from the Standard)*

**Risk Management Process Steps**

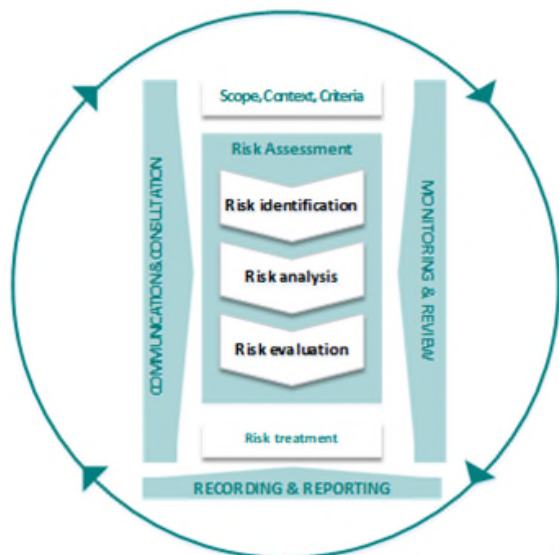
Organisational Criteria

The City sets criteria for risk management through the risk matrix that includes a profile of risk classifications (key business areas of interest), risk levels, guidance on how to manage risks, risk appetite and associated reporting.

The City’s **risk appetite** is the willingness to take low and medium inherent risk without variation to existing control activities. High and extreme risk require deeper assessment of control performance and residual risk ratings to be provided for closer monitoring and improvement where possible or assurance of the highest levels of control performance at the current time.

All risk assessments must be documented using systems or tools that use the criteria referred to in the *Risk Rating Matrix and Risk Assessment Process*. This allows comparable risk information to be developed and considered within planning and decision making.

**Refer to Attachment 1 for Risk Rating Matrix and Risk Assessment Process**



**City of Joondalup Risk Management Framework**

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Scope and Context

The City has identified three primary categories of risk that provide the scope and context of the risk assessment process.

**Strategic Risk**

Risks of an internal or external nature that affect the achievement of the City's long-term objectives defined by the *Strategic Community Plan*.

This category of risk requires input from Council and is managed by the Chief Executive Officer and Directors who are defined as Risk Owners that are responsible for coordinating risk controls and their effectiveness. This category of risk must be managed within the City's electronic risk management system.

**Operational Corporate Risk**

Risks of an internal or external nature that align to the delivery of operational activities defined within Business Unit Plans that deliver the *Strategic Community Plan*.

Directors are named as Risk Managers to oversee risks of this nature at portfolio level to manage escalations; Business Unit Managers are named as Risk Owners (except where employees have authority to accept risk directly related to their role responsibility) to manage individual risks assigned to them by way of coordinating management of controls.

Business Unit Managers are responsible for coordinating risk control and managing escalations in the absence of the Director. This category of risk must be managed within the City's electronic risk management system; other tools outside of this system may be used to determine what is entered.

**Project Risk (multiple portfolios)**

Risks of an internal or external nature that have an impact to the project objectives/outcomes from development to final delivery.

Consideration should also be given to the impact of project activity on City resources such as IT systems, processes and workforce for example. This category of risk is managed by the Project Sponsor with risk ownership and control coordinated by the Project Manager for the term of the project. This category of risk must be managed in line with requirements of the *Project Management Framework* or as directed by Project Sponsors.

**City of Joondalup Risk Management Framework****16**Risk Identification, Analysis and Evaluation

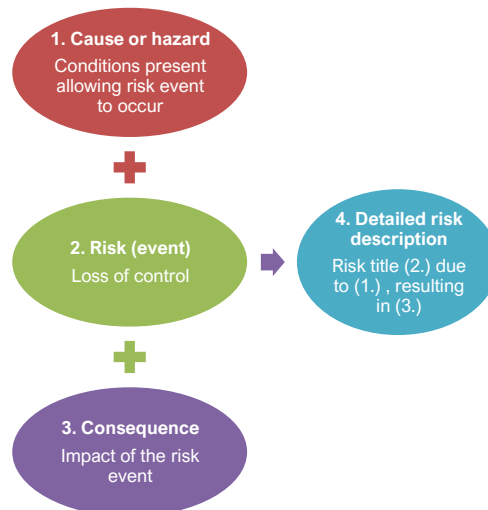
Sources of risk (internal / external), areas of impact (classifications / profiles), causes and potential consequences are identified to establish a list of risks that can enhance, prevent, degrade, accelerate or delay the achievement of objectives. Comprehensive identification is crucial; a risk not identified is not included in any analysis.

Methods of identification can vary and should include subject matter experts. A common approach for identification is brainstorming, which provides an array of results that can be further circulated to key stakeholders for input.

Basic questions that guide (not define) risk identification include:

- What can go wrong that will get in the way of objectives or goals? (risk event title)
- What will make it go wrong? (potential causes)
- What is the result if it does go wrong? (consequences)

More in depth, but not exhaustive, questions have been provided within the *Risk Assessment Review Checklist*, within the worksheet titled Examples, to provide some guidance.

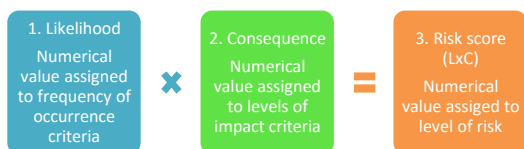


City of Joondalup Risk Management Framework

**Inherent risk** is the risk level without considering controls and is determined using the values for consequence and likelihood in the *Risk Rating Matrix and Risk Assessment Process* (step 1 and step 2).

This is the worst foreseeable consequence (a judgement applied by subject matter experts) should controls with the possibility of failure all do so at the same time, however unlikely that may be.

Assigning a likelihood and consequence allows the associated values to be multiplied to give a risk score that aligns to a risk level.



Repeating this process for each classification defined in the *Risk Rating Matrix and Risk Assessment Process* (step 1) provides a risk profile that can be used to determine a primary classification and the depth of further risk analysis. The primary classification is that which experiences the worst consequence and is most likely to occur.

The *Risk Profile Template* provides a calculation of the primary classification for entry into the City’s electronic risk management system. The risk profile is a documented record of the profile process and provides a risk summary that is useful for reporting and including with plans.

The City’s **risk appetite** is the willingness to take low and medium inherent risk without variation to existing control activities. High and extreme risk require deeper assessment of control performance and residual risk ratings to be provided for closer monitoring or assurance of the highest levels of control currently possible and plans for improvement.

**Residual risk** is a review of the original inherent risk rating against the proportion of controls that are the most effective. This is a repeat of step 1 and step 2 from the *Risk Rating Matrix and Risk Assessment Process* with the understanding of individual control effectiveness from step 3 and application of step 4 from the *Risk Rating Matrix and Risk Assessment Process*.

This allows for a review of where likelihood or consequence may have been reduced. This is required for high and extreme risk.

It would always be the aim to reduce risk to align with the risk appetite. Where this is not possible the Executive Leadership Team are required to monitor and provide direction for management through risk reporting provided by Audit Risk and Executive Services. Risk Managers and Risk Owners are responsible for ensuring risk treatment plans are available.

It is important to understand individual controls and their effectiveness to ensure there is justification for a residual risk rating. Evidence of effectiveness and risk ratings is required.

**Control effectiveness** is the review of control performance, both individually and collectively. A control is an activity that already takes place that positively influences risks it is assigned to. Control effectiveness levels will need reporting for high and extreme inherent risk. If there is a possibility of failure within an individual control, that is it does not operate at the highest level of effectiveness, it is not considered within the overall effectiveness rating. Controls that do not meet this standard will be assessed for improvement.

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**Individual control effectiveness** looks at the ability of a control to meet objectives – that is the design elements of the control and the operational effectiveness combined as explained in more detail in this document

It is an assessment by subject matter experts against the features of well-designed and operationally effective controls. It is not enough to say that a control exists or use the fact that it achieved milestones to indicate its success. There needs to be an assessment of how well it performed. Key performance indicators are useful to establish this if they are available and include this type of information.

**Refer to Attachment 1 (Step 3) for Risk Rating Matrix and Risk Assessment Process.**

**Overall control effectiveness** uses the percentage of controls that perform at the highest level to establish a rating. This provides an overall guide to the current risk management status when rating residual risk.

**Refer to Attachment 1 (Step 4) for Risk Rating Matrix and Risk Assessment Process.**

Sign off for controls is the responsibility of the person assigned to implement and monitor operational effectiveness. The exception is where a control is assigned to manage a strategic risk; these controls must be signed off by the relevant Director.

The *Risk Profile Tool* calculates an overall control effectiveness based on ratings applied for individual control effectiveness. Overall control effectiveness is a manually updated value in the City's electronic risk management system.

Evidence of effectiveness levels can be requested by Risk Managers or Risk Owners, Executive Leadership Team or Audit, Risk and Executive Services.

**Refer to Attachment 1 (Step 3 and 4) for Risk Rating Matrix and Risk Assessment Process.**

**Well-designed controls** include response triggers to indicate where failures may exist when a control process is:

- not performed the required number of times to be considered complete (indicates where a process is missed, completed too many or not enough times).
- not conducted as documented without errors or components missed, regardless of the overall outcome.
- completed outside of required timeframes for either statutory or internal service level compliance.
- exposed to opportunities for misconduct or fraud/theft.

**Operationally effective controls** are those that can be identified – through evidence and/or discussion with individuals / groups that operate the control process – as meeting the points below:

- in place, in operation.
- providing the same outcome at each operation.
- having been inspected (observed or through evidence provided from operation).
- mitigate cause and/or likelihood factors of risks they are assigned to.

It is difficult to have a single control that meets all the design and operational effectiveness elements; Risk Managers should ensure that collectively these are covered for risks they are responsible for.





**City of Joondalup Risk Management Framework****20**Communication and Consultation

Effective communication and consultation are essential to ensure that those responsible for managing risk, and those with a vested interest (stakeholders), understand the basis on which decisions are made. It also helps to understand why particular treatment / action options are selected and if the reasons to accept risks have changed.

As risk is defined as the effect of uncertainty on objectives, consulting with relevant stakeholders assists in the reduction of components of uncertainty. Communicating these risks and the information surrounding the event sequence ensures decisions are based on the best available knowledge. The risk management process should never be carried out in isolation.

Communication and consultation can take any format required and information that is acted upon should be maintained as a record.

Monitoring and Review

It is essential to monitor and review the management of risks continually, from identification to the end of the risk life. Changing circumstances can result in risks increasing or decreasing in significance, exposure of further risk or reveal a requirement for greater control.

By regularly reviewing the effectiveness of controls and the appropriateness of treatment / action options selected, it can be determined if the City's resources are being put to the best use possible. Over control on an acceptable risk could be a waste of resources, under control on an unacceptable risk could negatively impact resources. Monitoring allows there to be balance.

***Refer to Attachment 1 (Step 6) for Risk Rating Matrix and Risk Assessment Process.***

Additional monitoring and review is undertaken as part of the Internal Audit Plan and independent risk process and control audits that are implemented by Audit, Risk and Executive Services.

Recording and Reporting

Information for reporting is coordinated by Audit, Risk and Executive Services for operational and strategic risks recorded in the City's electronic risk management system. The information extracted from the electronic risk management system is provided in overarching reports to allow those with risk responsibility to comply with responsibilities described in this document. Any omissions or updates required should be reported to Manager Audit, Risk and Executive Services.

Reportable risk that will be routinely reported to the Executive Leadership Team is defined as any residual risk that is rated as high or extreme, or medium (with a value of 4) that has intolerable consequences. Where residual risk has not been assessed, inherent risk that meets these criteria will be used.

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Any other reporting of risk is the responsibility of the Risk Managers (Business Unit Managers, Directors and staff with specific risk responsibility assigned to their role). Assistance can be provided by Audit, Risk and Executive Services by request.

Project risk reporting is defined by the *Project Management Framework* and/or the Project Sponsor or relevant Director. The *Risk Profile Tool* allows recording of the risk management process defined within this document and provides a summary that can be used in project risk reporting, if required.

To ensure reporting is relevant, **Business Unit Managers are responsible for ensuring:**

- New / emerging risks for all risk categories are identified, continually managed and escalated as required to the Director or Executive Leadership Team.
- Operational risk portfolios are up to date and reflective of services delivered, objectives and current risk environment.
- Project risks are managed and reported appropriately.
- Controls and their effectiveness are monitored and updated escalating any significant issues to the Director or Executive Leadership Team
- Escalations (overdue, non-compliant, reportable risk, risk reviews) are managed in a timely manner.
- Responding to risk notifications from the City's electronic risk management system and from Audit, Risk and Executive Services

**Directors are responsible for ensuring:**

- Identification and management of a relevant strategic risk portfolio and associated control activity as part of the Executive Leadership Team role.
- Provision of direction on reporting frequency and agreement to the highest control effectiveness possible for risks that do not meet the risk appetite.

This is both as a Director and as part of their Executive Leadership Team role.

- Managing escalations for any category of risk appropriately.
- Formal risk reviews are conducted within required timeframes or at the time of significant change to the risk environment (restructure, risk ownership changes, external environment change).
- Responding to risk notifications from the City's electronic risk management system and from Audit, Risk and Executive Services







Additional formal reporting is undertaken by Audit, Risk and Executive Services as detailed in the responsibilities of this document. This includes reporting to the Chief Executive Officer, Executive Leadership Team, the Audit and Risk Committee and Council.

Reporting is the foundation of communication and effective management of risk as action can only be taken when awareness is gained.

***Refer to Attachment 1 (Step 6) for Risk Rating Matrix and Risk Assessment Process.***

**Attachment 1 Copy from Risk Management Framework**

**STEP 1 – Profile your risk consequences against each classification NOTE:** not all criteria for each consequence may apply, choose what best fits the situation being assessed.

CONSEQUENCE	 <b>Financial Loss</b>	 <b>Health, Safety &amp; Wellbeing</b>	 <b>Reputation</b>	 <b>Service Delivery</b>	 <b>Environment</b>	 <b>Governance and Compliance</b>
<b>ACCEPTABLE (1)</b> Little or no effect on objectives	Acceptable time / cost changes, managed at team level, within budget flexibility, one off cost, income reduction within acceptable limits, temporary loss/reclaimable	Temporary situation, resolved in easy to manage timeframe, acceptable increase in incidents, absence & liability claims	Minor news / media impact, normal level of complaints, easily resolved issue, minimal impact to staff turnover	Temporary disruption / delays, easily cleared backlog / customer requests increase	Contained reversible damage using existing resources	Easily resolvable legislation / policy / protocol / contract breach. most objectives will be met, internal systems identify potential fraud or corruption incidents
<b>TOLERABLE (2)</b> Effects are noticeable but not critical to objectives	Bearable changes with management agreement, contingency should cover with minimal changes, occurs once or twice within limits of budget variation, income reduction acceptable short term	Not permanent, formally registered incident, manageable recovery timeframe, increase in incidents, absence & liability claims manageable	Substantiated issue, public embarrassment, manageable news / media profile, possible internal investigation, manageable impact to staff turnover	Some key deliverables delayed, some program delay / cancellation, manageable disruption daily, customer request increase and missed targets / non- conformance manageable	Clean-up required, additional resources may be required, external agency involvement	Breach of legislation / policy / protocol / contract requiring <u>internal</u> investigation and/or unplanned audit, use of reactive risk controls / damage control, overall compliance may drop, some objectives will not be met, reported opportunity for fraud or corruption not managed, correctable process
<b>UNDESIRABLE (3)</b> Serious impact to the course of action or objectives	Justification required by Senior Management or Council, recurring loss, further funds needed, contingency / variation limits exhausted, prolonged income reduction changes services	Extensive impairment / injury, medical intervention / hospitalisation, partial / full recovery, increase in incidents, absence & liability claims higher than projected / requires resources to manage	Day to day disruption, local news / media profile, effort and expense required, internal and/or external investigation, staff turnover increase requiring additional resources to manage	Routine activity cancellation, daily monitoring by senior staff, prolonged interruption, requires additional resources, customer request increase and missed targets / non- conformance need active management	Uncontained, major but recoverable contamination, coordinated response from external agencies, significant resources required	Breach of legislation / policy / protocol / contract requiring <u>external</u> investigation; rectification or termination may be required, audit plan delayed, risks require treatment, low compliance, objectives rarely met, opportunity for fraud or corruption not managed, ineffective process not picked up
<b>INTOLERABLE (4)</b> Could result in disaster	Not possible without Council approval and plan redevelopment, additional funds not available, continual recurring loss, impact to other projects / programs due to loss, income reduction long term / permanent, fraud or corruption losses/liability claims/fines	Loss of life, permanent injury / impairment, ongoing situation, external investigation, extended resources required to manage, unmanageable liability claims, fraud or corruption impacts including imprisonment, personal fines, employment termination/s or losses, liability claims	Widespread multiple news / media profile, significant damage requiring external investigation and intervention, including fraud or corruption. Staff turnover not manageable without service impacts including turnover related to fraud or corruption incidents	Severe delays, cancellations, routine activities terminated, immediate intervention required, significant service changes required, customer request increases, targets not met with high non-conformance rates, fraud or corruption based delay including poor process and management	Uncontained, extensive contamination, potentially irreversible. External intervention and considerable resources required to manage, any environmental impacts related to fraud or corruption incidents	Breach of legislation / policy / protocol / contract requiring external investigation and action, audit plan will not be completed, significant loss, risks impact increases, unable to meet required compliance or objectives, fraud or corruption incidents committed that are internally or externally reported, wide-spread fraud or corruption incidents

**STEP 2 – Determine the likelihood and multiply it against the consequence for each classification from step 1. This provides a risk profile. The highest risk value is the risk rating.**

CONSEQUENCE	LIKELIHOOD DESCRIPTORS		
	<b>IMPROBABLE (1)</b> Risk is unlikely to occur	<b>POSSIBLE (2)</b> Risk could occur, but not certain	<b>PROBABLE (3)</b> Risk is likely to occur
<b>ACCEPTABLE (1)</b> Little or no effect on objectives	Low (1)	Low (2)	Medium (3)
<b>TOLERABLE (2)</b> Effects are noticeable but not critical to objectives	Low (2)	Medium (4)	High (6)
<b>UNDESIRABLE (3)</b> Serious impact to the course of action or objectives	Medium (3)	High (6)	High (9)
<b>INTOLERABLE (4)</b> Could result in disaster	Medium (4)*	High (8)	Extreme (12)

*\*Inherent risks with an intolerable consequence are treated as high in line with risk appetite for reporting*

**Attachment 1 Copy from Risk Management Framework**

**STEP 3 – Identify controls (activities managing consequence or likelihood) for each risk and establish individual performance. Evidence may be asked for.**

INDIVIDUAL CONTROL EFFECTIVENESS (apply to each control)	Individual control criteria/guidance
Control operates mostly as intended, <b>MEETS</b> its own objectives (Only controls at this level apply in step 4)	Control is mostly well designed (meets most of the response triggers that indicate when things go wrong, such as not performed the required number of times, if forgotten or lost, if completed within required timeframes (statutory or internal), if performed as designed regardless of the outcome and can protect against misconduct/fraud both internal and external). It operationally effective, i.e.it is in place, is a repeatable process that provides the same outcome, has been inspected (observed or through evidence), works to mitigate risk (it is managing cause/s and/or likelihood factors).
Control operates well but <b>DOES NOT ALWAYS</b> meet its own objectives	Control design and operational effectiveness is sometimes satisfactory but can be improved, works to mitigate elements of risk.
Control does not always operate well, often <b>NEEDS IMPROVEMENT</b> to meet its own objectives	Control design and operational effectiveness is not that good, should be improved, works to mitigate a few elements of risk.
Control rarely operates well or is not fully implemented, <b>DOES NOT MEET</b> its own objectives	Design and/or operational effectiveness is not allowing control to mitigate significant elements of risk. If this cannot be changed, consider treatment plans to improve overall effectiveness and/or replace poorly performing controls.
Control not measured for effectiveness, <b>OR</b> treatment has not yet been implemented	Measure design and effectiveness of control as soon as possible to ensure this control contributes to overall effectiveness levels. Treatments that are being implemented should assess effectiveness as soon as any results can be determined, even if they will improve over time.

**STEP 4 – Allocate an overall control effectiveness rating by assessing the % of controls performing at the highest level from step 3**

OVERALL CONTROL EFFECTIVENESS RATING	% of controls that operate mostly as intended, MEETS its own objectives
STRONG	>75% to 100%
ADEQUATE	>50% to 75%
DEVELOPING	>25% to 50%
INADEQUATE	0% to 25%

**STEP 5 – Rate the residual risk by repeating step 2 and 3 for the classification with the highest risk level considering step 3 and step 4 where controls may have reduced the likelihood and/or consequence.**

**STEP 6 – Monitor, review and report – reviews changes in context, likelihood, consequence, effectiveness, residual risk and overall risk environment**

INHERENT RISK LEVELS	Guidance to manage	Reporting	Review
LOW (1 - 2)	MONITOR WITH DAY TO DAY OPERATIONS by Risk Owners; adequate and/or partially effective controls acceptable; consider if all controls are required.	No formal reporting required, included in Monthly Risk Report published internally for risk responsible officers to review. <i>*Inherent risks with an intolerable consequence are treated as high in line with risk appetite for reporting</i>	At least annually or when change occurs
MEDIUM (3 - 5)			
HIGH (6 - 9)	MONITORING REQUIRED by Executive Leadership Team to ensure highest control effectiveness possible is being applied and reasonable efforts to investigate treatment plans are undertaken.	Audit, Risk and Executive Services to provide quarterly Risk Report to Executive Leadership Team for review. <i>*Inherent risks with an intolerable consequence are treated as high in line with risk appetite for reporting</i>	Six monthly unless otherwise directed, or when change occurs
EXTREME (10 - 12)			



# Risk Management Framework



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# Risk terms used in this document

## Controls

Existing (implemented) activities to manage risk that can be evidenced and performance measured.

## Control Effectiveness

Overall defined rating of performance for all controls managing a single risk or an individual control's success in meeting its own objectives.

## Control or Treatment Stakeholder

Person or group responsible for conducting or implementing control or treatment activities.

## Inherent Risk

Level of risk exposure before considering effectiveness of any existing controls.

## Mitigation

Generic term for actions taken to reduce the negative effects of risk.

## Residual Risk

Current management status of risk after considering effectiveness of controls and attainment of target levels.

## Risk

Possible event that if it occurs, will impact the ability to meet objectives.

## Risk Assessment

A documented outcome of the processes that identify, analyse and evaluate risks.

## Risk Attitude

Defines the approach to risk and influences how risks are assessed and addressed.

## Risk Category

Defined name given to a group of risks that fall into a common theme of planning.

## Risk Champion

Person with competent skills in risk management, including City processes, that can actively engage groups to facilitate risk discussions and best practice.

## Risk Classification

Defined name given to an area of risk impact.

## Risk Level or Rating

Qualitative description of risk exposure.

## Risk Management

Term for coordinated group of activities that direct and control risk exposure.

## Risk Management Framework

Internal document outlining the process and responsibilities for managing risk.

## Risk Management Guidelines

Internal document providing activity details for the process and responsibilities for managing risk.

## Risk Management Plan

Documented intentions to manage risk for a given activity or group of activities describing the approach and resources.

## Risk Management Policy

Public document outlining the commitment and approach to managing risk.

## Risk Manager/s (Portfolio)

Person or group with the authority to accept responsibility, on behalf of the City, for risks within an entire risk portfolio.

## Risk Owner (Individual)

Person with authority to accept responsibility for individual risks, on behalf of the City.

## Risk Portfolio

Administrative grouping of risks based on risk category and responsibility.

## Risk Register

List of all significant risks for an activity or group of activities.

## Risk Tolerance

The level of risk and management considered as acceptable.

## Target Risk

Level of risk defined as acceptable for each risk classification without further action.

## Treatments

Intended activities or processes that aim to modify residual risk exposure.

## Treatment Plan

Documented account of activities that aim to alter exposure to an inherent risk event.

# Introduction

The City of Joondalup (“the City”) is committed to ensuring that effective risk management remains central to all its operations and activities whilst delivering a wide and diverse range of services to its many customers and stakeholder groups.

The *Strategic Community Plan, Joondalup 2022* outlines the City’s vision as:

“A global City: bold, creative and prosperous”

To achieve this vision, it requires sound corporate governance and the integration of good risk management practices within processes, planning, reporting and performance measurement. Development of sound governance documents for risk management process are a key to this.

The *Risk Management Policy* outlines the City’s commitment and approach to managing risks. Risks are to be recorded, analysed and reported, based on the context of the individual risk and the risk portfolio it belongs to.

The Risk Management Framework (“the Framework”) aims to uphold the City’s Primary Values of being transparent, accountable, honest, ethical, respectful, sustainable and professional. The Framework provides the guidance to integrate risk management into activities and functions performed by the City.

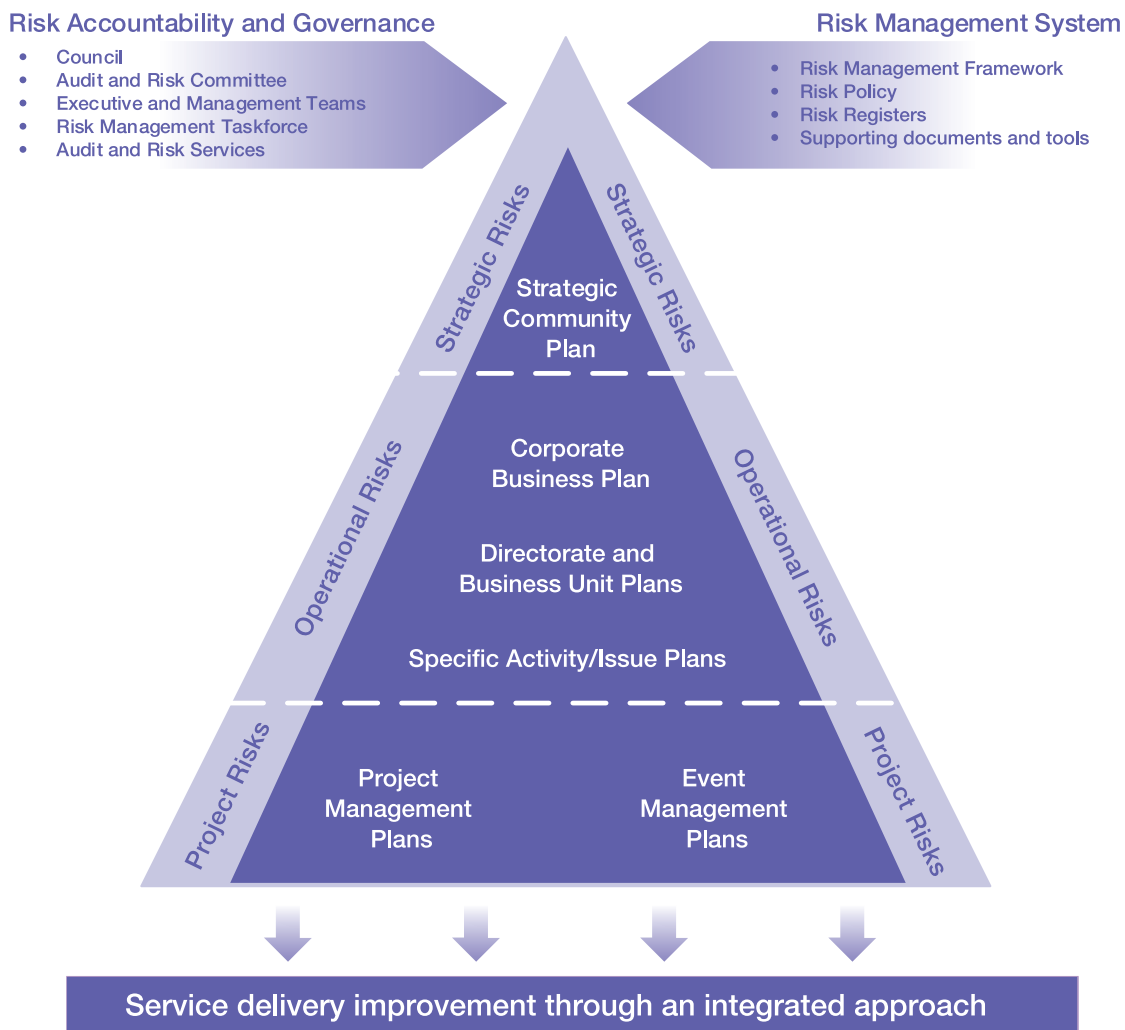
The City’s Risk Management Guidelines (“the Guidelines”) provides detailed application guidance for the Framework. This includes procedures, practices, responsibilities and activities (including their sequence and timing).

Risk management provides the City with the ability to demonstrate clear evidence based decision making in achievement of its objectives whilst maximising opportunity and minimising risk. Every planning activity undertaken by the City requires the identification of risks and results in the requirement to manage risk to acceptable levels. This continuous cycle demonstrates the integrated nature of risk management within City systems.

The management of risk is not an isolated function and should be an integral part of organisational culture, through the creation and updating of policies, protocols, plans, systems and processes. The effective use of risk management will ensure the City’s readiness to manage the delivery of critical services with least impact possible following a disruptive risk event (which in essence is business continuity management).



Diagram 1 – Integrated Planning and Risk Alignment



The AS ISO 31000:2018 Standard, Risk Management – Guidelines defines risk as “the effect of uncertainty on objectives” and risk management as “coordinated activities to direct and control an organisation with regard to risk.”

The Framework covers key areas including:

1. Risk Attitude
2. Benefits of Good Risk Management
3. Principles of Risk Management
4. Risk Categories and Classification
5. Roles and Responsibilities
6. Risk Management Process

The Framework is part of the City’s Risk Management System, which includes two components:

- Foundations – policy, objectives, mandate and commitment.
- Arrangements – plans, procedures, practices, responsibilities and activities (including their sequence and timing).

# 1. Risk Attitude

The City seeks to manage risk carefully. The City's risk attitude influences how risks are assessed and addressed. The City's attitude towards risk affects whether or not risks are taken, tolerated, retained, shared, reduced or avoided. It determines when further treatments are required and when control efforts can be reduced.

The City accepts the taking of controlled risks, supports the use of innovative approaches and the development of new opportunities to improve service delivery in the achievement of its objectives. Risks must be properly identified, evaluated and managed to ensure acceptability within the targets and tolerances set in this document, alongside the context in which a risk exists.

The inherent level of risk is assessed by considering criteria for both consequence and likelihood providing the level of overall impact to the City. Controls (existing activities) that aim to reduce the risk need to be assessed for their combined effectiveness in managing the risk to provide the current level of risk that remains, residual risk. Residual risk changes with variances in effectiveness of controls applied and requires monitoring.

Control effectiveness is rated as:

Rating	Criteria
<b>Strong</b>	Controls are operating as intended, no indication of deficiencies. Overall reasonable assurance that risk is being managed and control objectives are met.
<b>Adequate</b>	One or more control weaknesses identified, overall control environment is adequate, appropriate and effective. Some controls may require improvement.
<b>Inadequate</b>	No controls, numerous weaknesses identified, or gaps noted. Overall control environment does not give reasonable assurance that risks are being managed or that control objectives are being met.

**Table One – Inherent target risk levels by classification**

Target level of inherent risk is the amount of risk the City is prepared to be exposed to before further action (development and implementation of treatment plans) is deemed necessary.

The table below defines the agreed target levels for each primary business impact area, that are defined as the Framework classifications.

	Low	Medium	High	Extreme
<b>Financial Loss</b>		●		
<b>Health, Safety and Wellbeing</b>		●		
<b>Reputation</b>		●		
<b>Service Delivery</b>		●		
<b>Environment</b>		●		
<b>Governance and Compliance</b>		●		

The qualitative only approach requires the outcome of the risk process to have established the inherent risk level, control effectiveness and target status. It is these three elements that provide the residual (or current) risk exposure.

The risk tolerance and management guidance for each risk level is shown below:

Risk Level	Tolerance and Management Guidance	Minimum Monitoring / Report Frequency
Low	ACCEPTABLE with adequate or less control effectiveness; managed by routine procedures, consider if all controls are required.	Annual report to Risk Manager; projects in line with project length.
Medium	ACCEPTABLE IN MOST CASES depending on Risk Management Framework classification of primary area of impact assigned (approval required to manage outside of target); can have adequate and/or partially effective controls; managed by standard procedures; monitor effectiveness of controls.	On discovery outside of target risk to Risk Manager; then six-monthly report to Chief Executive Officer or as directed; projects in line with project length.
High	REQUIRES ACTION. Approval to manage at this level is required. MUST have strong effective controls; needs regular monitoring; consider treatment plans to further reduce the risk or improvement of existing controls; reporting of mitigation efforts and justification for risk rating required for Chief Executive Officer approval.	On discovery to Chief Executive Officer; three-monthly to Chief Executive Officer or as directed; projects in line with project length.
Extreme	UNACCEPTABLE REQUIRES ACTION. MUST have strong, effective controls; needs active management with consideration to control effectiveness and the replacement of ineffective controls; all treatment plans must be documented explored, implemented and managed at the highest level; reporting and justification for risk rating is required for Chief Executive Officer and/or Council approval.	Immediately on discovery to Chief Executive Officer; monthly or as directed.

**NOTE:** Audit and Risk Services are responsible for the reporting of strategic and operational risk levels assessed as high and/or extreme; along with the provision of a generic risk report or dashboard for Risk Managers and Owners to monitor risk activity. Any other reporting should be in line with the activity the risk has been identified, for example monthly reporting activities of the Project Management Framework.





## 2. Benefits of Good Risk Management

- Greater likelihood of achieving City objectives
- Compliance with legislative requirements
- Improving stakeholder trust and confidence
- Encouraging decisive leadership rather than management of crisis
- Better information for decision making
- Reducing unexpected and costly surprises
- Better results from projects and activities
- More effective and efficient allocation of resources
- Balancing opportunity and risk
- Enhanced accountability and corporate governance
- Assisting in obtaining insurance cover.



# 3. Principles of Risk Management

The City has adopted the use of the AS ISO Standard 31000:2018 Risk Management – Guidelines (“the Standard”). The Standard provides a set of principles to guide effective risk management which have been interpreted in Diagram Two including how the City demonstrates these principles.

**Diagram 2 – AS ISO 31000 Risk principles (inner circle) and City activities that demonstrate them (outer circle)**



Principle	City Activities
<b>Integrated</b>	Directors and Managers support risk management by use of the risk management process throughout all City planning activities, including projects, and by using risk to inform decision making. Planning activities require monitoring for implementation and effectiveness demonstrated through regular reporting requirements.
<b>Structured and Comprehensive</b>	Simple key performance indicators set around risk management tasks provide a base for performance to be measured and analysed to feed continual improvement and training programs. Risk dashboards display the status of risk items that require some oversight to meet compliance.
<b>Customised</b>	Using the residual risk target levels and associated tolerances within those levels, effort and reporting can be targeted based on the current risk exposure (residual risk). The risk level, associated control effectiveness and target status determines the minimum required monitoring, reporting and escalation on a risk-by-risk basis alongside the internal and external context of the risk.
<b>Inclusive</b>	The Standard outlines the risk management process and recommends the inclusion of stakeholders from beginning to end, as reflected in training and facilitation sessions. Risk Managers ensure that all stakeholders are nominated, documented and are communicated with at appropriate times. Training is available through the Induction Program and Corporate Training Calendar.
<b>Dynamic</b>	The City provides a live risk management system that assigns Risk Managers to a portfolio of risks within their area of responsibility. This system allows immediate addition and update of risk items, capturing knowledge and expertise in the constantly evolving risk landscape.
<b>Best available information</b>	The City always seeks to employ experts in their field and encourages professional development that assist in the identification of new and emerging risks. Sharing experiences with other local government authorities and groups alongside learning and sharing from the City's risk experiences can help further mitigate risk events.
<b>Human and cultural factors</b>	Council, the Chief Executive Officer and the Executive Leadership Team are stakeholders to all risks the City is exposed to and are expected to lead by example by using and promoting risk management in their responsible areas. Communication is facilitated through various meetings (Council, Audit and Risk Committee, Strategic Executive Leadership Team, Executive Leadership Team and Risk Management Taskforce) that allow stakeholder input and time to discuss and assess risk. Training provided by Audit and Risk Services or externally, in risk management is promoted by the Executive Leadership Team and Managers to appropriately manage risk at all levels.
<b>Continual improvement</b>	The City demonstrates continual improvement by ensuring there is active participation in the risk management process through the Executive Leadership Team and Managers use of all risk principles. Documenting risk and control strategies in a system available to all staff shares risk experiences allowing other teams to focus their mitigation efforts in the right place at the right time. Audit and Risk Services ensures the review of the City's risk management documentation (such as the Policy and Framework) and training programs that includes input from stakeholders to capture learning experiences to shape the City's approach.



## 4. Risk Categories and Classifications

The City maintains an electronic risk register that groups risk by portfolio, followed by the Framework classifications and lastly the strategic objective themes as defined in the *Strategic Community Plan*.

### Three risk portfolio categories

#### Strategic Risk (single portfolio)

Risks of an internal or external nature that affect the achievement of the City's long-term objectives defined by the *Strategic Community Plan*. This category of risk requires input from Council and is managed by the Chief Executive Officer with the Executive Leadership Team.

#### Operational Risk (multiple portfolios aligned to Business Units)

Risks of an internal or external nature that have day-to-day impact on the City's ongoing operational activities that deliver the *Strategic Community Plan*. These risks are managed by Directors and Business Unit Managers.

#### Project Risk (multiple portfolios)

Risks of an internal or external nature that have an impact on the development and delivery of projects that contribute to the delivery of the *Strategic Community Plan*. This category of risk is managed within the Project Team for the life of the project.

Risk portfolios are aligned to the City's organisational structure and are managed in alignment to risk management processes.

### Framework Classifications

The Framework classifications define the risk relationship to a primary area of business and are listed below:

Classification	Definition
<b>Financial Loss</b>	Budget expenditure; single and reoccurring losses.
<b>Health, Safety and Wellbeing</b>	Injury and illness (physical or mental); life loss; absence; liability claims; staff retention; potential reprisal resulting from public interest disclosure.
<b>Reputation</b>	Items of news; customer satisfaction; staff turnover; time/effort to recover; internal and/or external actions.
<b>Service Delivery</b>	Timely delivery; quality of service; customer satisfaction; disruption; cancellations; backlogs; complaint increases; resources.
<b>Environment</b>	Living organisms affected; water; emissions; waste; pollution; natural resources; climate and coastal impacts.
<b>Governance and Compliance</b>	Breach of policy/procedure (internal and external); audits; compliance; risk management; achievement of objectives; internal and external investigations.

A Qualitative Risk Matrix provides consequence criteria guidelines using the classifications listed above (including target risk levels) to allow determination of the inherent risk rating by:

- Level of consequence – insignificant; minor; moderate; major; catastrophic
- Likelihood – rare; unlikely; possible; likely, almost certain.

### Strategic Objective Themes

The strategic objective themes (or aspirational outcomes) that define the relationship to the *Strategic Community Plan* are listed below:

Classification	Definition
<b>Governance and Leadership</b>	The City is recognised for its outstanding governance practices, which are achieved through strong leadership and fully-integrated community engagement systems.
<b>Financial Sustainability</b>	The City is a financially diverse local government that uses innovative solutions to achieve long-term financial sustainability. Its rates revenue is moderated through the adoption of ongoing service efficiencies and alternative income streams.
<b>Quality Urban Environment</b>	The City's built environment is planned for enduring relevance through quality, modern design that is creative, flexible and diverse. Design of its urban landscapes promotes connectivity useability and accessibility; contributing to the highest standards of liveability.
<b>Economic Prosperity, Vibrancy and Growth</b>	The City is lively and thriving across its commercial centres. It is a global City, home to diversified industries that generate a wide-range of local job opportunities, achieving employment self-sufficiency.
<b>The Natural Environment</b>	The City is a global leader in adaptive environmental management. It works closely with the community to protect and enhance the natural environment, while celebrating and showcasing its natural assets to the world.
<b>Community Wellbeing</b>	The City has world-class facilities and a thriving cultural scene. It encourages and supports local organisations and community groups. Community spirit is felt by all residents and visitors, who live in safe and friendly neighbourhoods.



## 5. Roles and Responsibilities

The management of risk is the responsibility of everyone and should be an integral part of organisational culture with processes on how to manage risk being defined in the Guidelines. Responsibilities for each group are outlined below and the City welcomes contributions from any other party in relation to the raising of risk issues and information.

### Council

- Adopt the *Risk Management Policy*.
- Endorse the Risk Management Framework.
- Review the appropriateness of risk attitude (or appetite).
- Provide input into the management of risk reported in line with risk tolerance.
- Receive reports from the Audit and Risk Committee including the Chief Executive Officer's Report in relation to risk management, internal control and legislative compliance as required by the *Local Government (Audit) Regulations 1996*.

### Audit and Risk Committee

- Consists of seven Elected Members and an external independent member.
- Guide and assist the City in carrying out its functions under Part 6 Financial Management and Part 7 Audit of the *Local Government Act 1995*, and relating to other audits and other matters related to financial management.
- Review the Chief Executive Officer's Report on (1) the appropriateness and effectiveness of the City's systems and procedures in relation to risk management, internal control and legislative compliance as required by Regulation 17 the *Local Government (Audit) Regulations 1996* and; (2) the appropriateness and effectiveness of the financial management systems and procedures of the City under regulation 5(2)(c) of the *Local Government (Financial Management) Regulations 1996*.
- Support the auditor of the City to:
  - conduct audits and other duties under the *Local Government Act 1995* in respect of the City.
  - oversee the implementation of any actions in accordance with Regulation 16(f) of the *Local Government (Audit) Regulations 1996*.
- Review and monitor progress of the internal audit program including the scope of internal audits.

### Chief Executive Officer

- Leads and promotes a risk aware culture taking appropriate action as required.
- Ensures the identification and management of strategic risks.
- Ensures establishment of a risk management process that is implemented and maintained in accordance with the *Risk Management Policy*.
- Ensures reviews are undertaken at least once every three years on the:
  - appropriateness and effectiveness of the City's systems and procedures in relation to risk management, internal control and legislative compliance and the appropriateness (as required by Regulation 17 the *Local Government (Audit) Regulations 1996*.
  - effectiveness of the financial management systems and procedures of the City (as required by regulation 5(2)(c) of the *Local Government (Financial Management) Regulations 1996*).
- Ensures results of reviews are reported to Council via the Audit and Risk Committee.

### Executive Leadership Team

- Consists of the Chief Executive Officer and Directors.
- Promotes a positive risk culture.
- Ensures inclusion of appropriate risk management in all planning activities.
- Manages the strategic risk portfolio including raising new risks as they arise and ensuring mitigation strategies are appropriate and effective.
- Provides appropriate direction for reported risk and associated control activities.
- Provides feedback on the appropriateness and effectiveness of risk management plans, frameworks and procedures.

### Risk Management Taskforce

- Consists of the Chief Executive Officer, all Directors, Manager Audit and Risk Services, Internal Auditor, Risk and Business Continuity Advisor and selected employees.
- Focuses on best practice risk management and long term sustainability of the City.
- Reviews policy issues and matters of a high level of impact.
- Ensures that the City's risk management

documentation (such as the Policy and Framework) are adhered to.

- Ensures systems and procedures in place support the identification and management of risk.
- Considers training programs to enhance awareness of risk management and promotion of a positive risk culture that embeds risk management across systems and processes.

### Audit and Risk Services

#### Manager

- Reviews the City's risk management documentation (such as the Policy and Framework) alongside feedback received from both internal and external sources.
- Empowers Risk Managers in the management of risk through provision of guidance, tools and appropriate training.
- Ensures periodical risk maturity assessments to highlight areas of improvement.
- Monitors escalation of high and extreme risks for reporting to the Chief Executive Officer (via the Executive Leadership Team) and Council.

#### Internal Auditor

- Develops a risk-based internal audit program in conjunction with the Chief Executive Officer and Manager Audit and Risk Services.
- Completes internal audit reports detailing observations and making recommendations where appropriate, for risk mitigation and system improvements.
- Provides audit reports to the relevant audience.

#### Risk and Business Continuity Advisor

- Provides guidance on application of risk management processes.
- Administers the City's electronic risk management system for documenting risk.
- Provides advice on the quality of risk items documented.
- Develops and delivers risk training programs as part of the City's Induction Program and Corporate Training Calendar.
- Facilitates risk discussions where required.
- Provides input to the review of the City's risk management documentation (such as the Policy and Framework) and associated systems and processes.

#### Directors and Managers

- Provide leadership through a solid understanding of the City's risk management documentation (such as the Policy and Framework).
- Ensure all planning activities use the City's risk management documentation consistently and effectively.
- Monitor use and effectiveness of risk management within their areas of responsibility including appropriateness of documentation and outcomes.
- Support attendance to risk based training.
- Identify and support development of risk champions to allow further integration of risk management into day to day operations.
- Review, update and report risk for the Directorate/ Business unit specific plans alongside projects as required.
- Ensure risks are reported appropriately with regard to tolerances and targets.

#### Employees/Volunteers/Contractors/Suppliers

- Identify and raise potential risks within their area of control.
- Apply effective management of risk.
- Escalate all risk information to Business Unit Managers.
- Be aware of the City's risk management documentation (such as the Policy and Framework) and how to apply them as applies to their role.

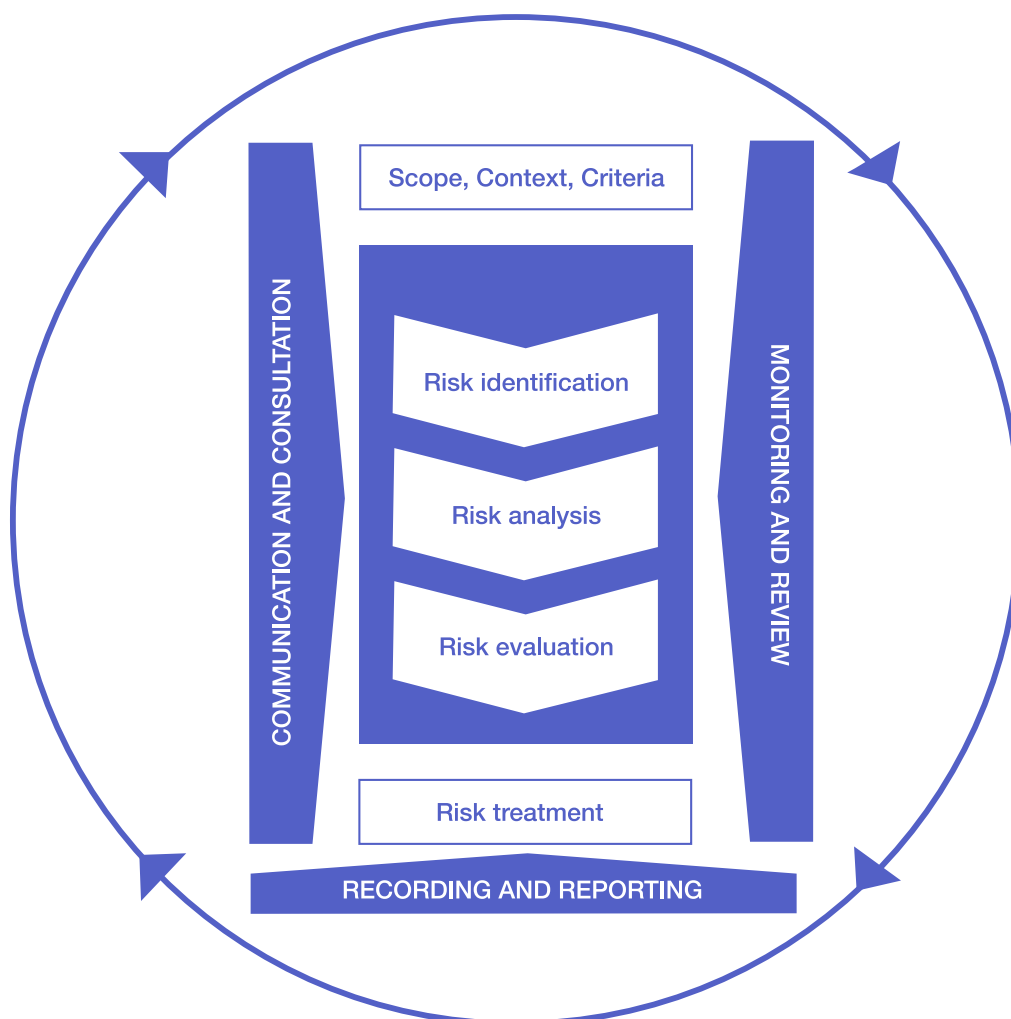


## 6. Risk Management Process

Risk management needs an understanding of risk tolerance, the willingness to take risk and the circumstances in which that willingness occurs. Identifying and assessing what events can prevent delivery of objectives, what opportunities for improvement or refinements exist, whether current approaches manage the risk and if further risk treatments are required. Targets set the goal that the City agrees to (based on the business impact), tolerances provide a guide to managing risk outside of those targets and what needs to happen for this to be accepted.

The risk management process is the series of steps that enable risks to be identified, analysed and treated in the context of the environment in which the City operates. The main elements of the risk management process are shown below and are to be incorporated into the City's business planning process. Risk portfolios are to be managed by risk category – strategic, operational and individually identified project risks. Documented accounts of how the process is applied should be maintained alongside plans or as stand-alone documents.

Diagram 3 – The Risk Management Process



**Communication and Consultation:** Effective internal and external communication and consultation throughout the risk management process allows all stakeholders to understand the basis on which decisions are made.

**Scope, Context and Criteria:** The risk management process is to be incorporated into the City's business planning process at all levels. An understanding of the impact to objectives from external influences, alongside internal inputs, provides context to the planned activity environment in which the risk criteria defined in this framework can be applied.

**Risk Identification:** Sources of risk, areas of impact, causes and potential consequences are identified to establish a list of risks based on events that might create, enhance, prevent, degrade, accelerate or delay the achievement of objectives. Comprehensive identification is crucial; a risk not identified is not included in any analysis.

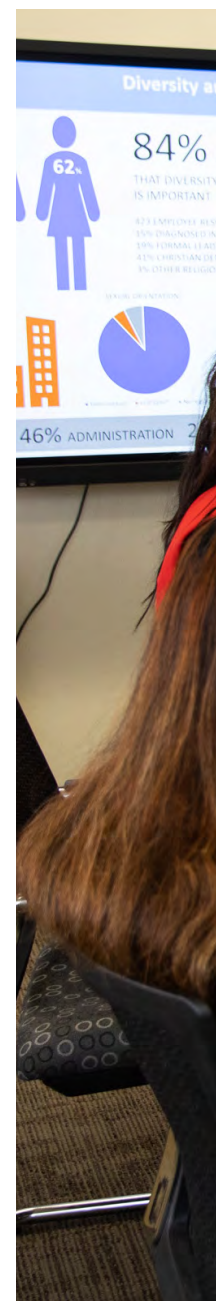
**Risk Analysis:** Considers causes and sources of risk, their consequences and likelihood of occurrence in an uncontrolled environment. Existing controls and their effectiveness are then taken into account. Risk analysis provides an input to risk evaluation and decisions on the most appropriate risk treatment strategies.

**Risk Evaluation:** Risk evaluation assists in making decisions, based on the outcomes of the risk analysis, about risk treatment and priorities. Risk evaluation involves comparing the level of risk found during the analysis process with pre-established target risk. The risk target status and the City's risk attitude will help influence the decisions on risk treatment.

**Risk Treatment:** Selecting the most appropriate risk treatment option involves balancing the cost and efforts of implementation against the benefits derived. A number of treatment options may be considered and can be applied individually or in combination. Risk treatment plans should be prepared which document how the chosen treatment options will be implemented, either individually or within the planning document.

**Monitor and Review:** The risk management process should be continually monitored and reviewed to ensure that controls are effective, new information is gathered, latest changes and trends are identified, successes and failures are recorded, lessons are learned, changes in internal and external context are detected and emerging risks are captured.

Refer to the Guidelines for details on the approach and the resources that are used. This includes procedures, practices, roles, responsibilities and activities (including their sequence and timing).









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*This document is available in alternate formats upon request.*



# REGISTER | STRATEGIC RISK

Risks of an internal or external nature that affect the achievement of the City's long-term objectives defined by the Strategic Community Plan.

## STRATEGIC COMMUNITY PLAN GOALS

- 1. COMMUNITY
- 2. ENVIRONMENT
- 3. PLACE
- 4. ECONOMY
- 5. LEADERSHIP

Associated Goals	Risk Title	Risk	Current Risk Rating	Risk Owner
	HEALTH/SAFETY	Failure to maintain a safe and healthy workplace	High	Chief Executive Officer
	REPUTATION	Loss of community trust	High	Chief Executive Officer
	INFORMATION TECHNOLOGY	Inability to maintain pace with technology	High	Director Corporate Services
	EXPECTATIONS	Inability to understand community expectations	High	Director Governance and Strategy
	DECISIONS	Ineffective/improper decision making	High	Director Governance and Strategy
	WORKFORCE	Inability to attract or retain a skilled and competent workforce	High	Director Governance and Strategy
	ENVIRONMENT	Unsustainable environmental and natural resource management	High	Director Infrastructure Services
	FINANCIAL	Lack of financial sustainability	Medium	Director Corporate Services
	ASSETS	Inadequate asset planning, maintenance and renewal	Medium	Director Infrastructure Services
	WASTE	Inability to meet strategic waste objectives	Medium	Director Infrastructure Services
	ATTRACTION	Lack of desirability as a place to visit, live, work, invest and do business	Medium	Director Planning and Community Development
	LEGISLATION	Inability to influence or effectively advocate for statutory change	Medium	Director Planning and Community Development

Last Internal review date: 16 October 2023  
 Last Audit and Risk Committee review: TBA  
 Last Council Endorsement: TBA

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2023/24 Corporate Compliance Calendar

Last Reviewed: May 2023

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Position Title Officer Responsible for Action Compliance	Position Title Officer Responsible for Action Compliance	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
<b>July - Take Action</b>												
Jul	<b>Risk Management - Review</b> Undertake a review of the appropriateness and effectiveness of the Risk Management system and procedures at least once in every 3 financial years. CEO to report Review results to Council via the Audit Committee. Last completed (OCM decision date): 17/03/2020 <b>Due by: 31/07/2023</b>	Local Government Act 1995	Audit.Reg. 17(1)(a)	AS ISO 31000:2018 Risk Management - Guidelines	Triennial <b>Next Due: 2025</b>	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services		INT23/23095 (committee report) and INT23/23096 (external review)  Updated report in Doc Assembler for Audit and Risk Committee meeting on 21 August 2023	Presented to Audit and Risk Committee on 22 May 2023; request from Committee for auditors to attend next meeting on 2 August 2023; will then progress to Council for endorsement	In Progress
Jul	<b>Internal Control - Review</b> Undertake a review of the appropriateness and effectiveness of the Internal Control system and procedures at least once in every 3 financial years. CEO to report Review results to Council via the Audit Committee. Last completed (OCM decision date): 17/03/2020 <b>Due by: 31/07/2023</b>	Local Government Act 1995	Audit.Reg. 17(1)(b)	DLGSC website - WA Local Government Accounting Manual	Triennial <b>Next Due: 2025</b>	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services		INT23/23095 (committee report) and INT23/23096 (external review)  Updated report in Doc Assembler for Audit and Risk Committee meeting on 21 August 2023	Presented to Audit and Risk Committee on 22 May 2023; request from Committee for auditors to attend next meeting on 2 August 2023; will then progress to Council for endorsement	In Progress
Jul	<b>Legislative Compliance - Review</b> Undertake a review of the appropriateness and effectiveness of the Legislative Compliance system and procedures at least once in every 3 financial years. CEO to report Review results to Council via the Audit Committee. Last completed (OCM decision date): 17/03/2020 <b>Due by: 31/07/2023</b>	Local Government Act 1995	Audit.Reg. 17(1)(c)	AS 3806-2006 Compliance Programs	Triennial <b>Next Due: 2025</b>	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services		INT23/23095 (committee report) and INT23/23096 (external review)  Updated report in Doc Assembler for Audit and Risk Committee meeting on 21 August 2023	Presented to Audit and Risk Committee on 22 May 2023; request from Committee for auditors to attend next meeting on 2 August 2023; will then progress to Council for endorsement	In Progress
Jul	<b>Financial Management Systems and Procedures Review</b> Not less than once in every 3 financial years, review the appropriateness and effectiveness of the systems and procedures established under FM.Reg.5. CEO to report Review results to Council via the Audit Committee. Last completed (OCM decision date)17/03/2020 <b>Due by: 31/07/2023</b>	Local Government Act 1995	FM.Reg.5	DLGSC website - WA Local Government Accounting Manual	Triennial <b>Next Due: 2025</b>	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services		INT23/23097 (committee report) and INT23/23098 (external review)  Updated report in Doc Assembler for Audit and Risk Committee meeting on 21 August 2023	Presented to Audit and Risk Committee on 22 May 2023; request from Committee for auditors to attend next meeting on 2 August 2023; will then progress to Council for endorsement	In Progress
Jul	<b>Public Interests Disclosures - Provide Annual Report</b> to Commissioner for Public Interests Disclosure <b>by 31 July each year</b>	Public Interest Disclosure Act 2003	s. 23(f)		Annual	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services	26/07/2022	INT23/39155		Complete
Jul	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(c). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services	29/06/2023		Submitted to agenda settlement (Report for May 2023)	Complete
Jul	<b>Emergency Services Levy - End of Year Reconciliation Report Due by: 31 July</b>	DFES - ESL Manual of Operating Procedures	Clause. 5.13.4	DFES - ESL Manual of Operating Procedures	Annual <b>Due: 31 July</b>	Corporate Services	Financial Services	Manager Financial Services			Not applicable - CoJ does not operate under Option A. Option B does not require Form C to be submitted.	Complete
Jul	<b>Annual Budget - Copy of Annual Budget as adopted to DLGSCI Executive Director within 30 days of the Budget adoption, plus a copy of the Council Report / Minutes relevant to the budget adoption.</b>	Local Government Act 1995	FM.Reg.33.	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services	13/07/2023		Acknowledgement received from DLGSC 13/07/2023	Complete
Jul	<b>Annual Budget - Website</b> Publish the Annual Budget on the LG website.	Local Government Act 1995	s.5.96A(1)(c)		Annual	Corporate Services	Financial Services	Manager Financial Services				Complete
Jun	<b>FOI Annual Statistical Data - Response to Information Commissioner</b>	Freedom of Information Act 1992	s.111(3)		Annual <b>Due: ASAP after 31 June</b>	Governance and Strategy	Governance	Manager Governance	14/07/2023	INT23/47326	Completed. Sent to FOI Commissioner on 14/07/2023.	Complete
Jul	<b>Financial Interests Register - Review</b> Issue and review Primary Returns; Update Register - Add/remove entries; Update disclosures on website.	Local Government Act 1995	s.5.88(3)(4)	WALGA - Governance Subscription - Guideline - Primary and Annual Returns Management DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Bi-monthly	Governance and Strategy	Governance	Manager Governance		INT23/41680 - 2022-23 Primary Returns Reporting	2022-23 Primary Returns (Officers) is provided on City's website there are no EM Primary returns received during the period 1/7/22 to 30/6/23. Primary and Annual Return register in Attain are maintained on an ongoing basis.	Complete

Jul	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s.5.89A /28A		Monthly	Governance and Strategy	Governance	Manager Governance	-	-	Gifts Register not uploaded to the website in July.	In Progress
Jul	<b>Report on Elected Member Training</b> Due by: 31 July LG must prepare a report on the training completed by Council members in the previous financial year. CEO must publish the report on the LG's website within one month of the end of the financial year.	Local Government Act 1995	s.5.127		Annual Due: 31 July	Governance and Strategy	Governance	Manager Governance	25/07/2023	INT23/37781	Report presented to Ordinary Council Meeting held on 25 July 2023.	Complete
Jul	<b>Register of Fees and Allowances Paid to Elected Members</b> Due by: 14 July Establish register of Elected Member fees, expenses and allowances paid and publish on the website by no later than 14 July.	Local Government (Admin) Regs 1996	29C(2)(f)		Annual Due: 14 July	Governance and Strategy	Governance	Manager Governance	4/07/2023	INT23/33895	Uploaded to the City's website on 04/07/2023. <a href="https://www.joondalup.wa.gov.au/tb/resident/fees-expenses-and-allowances-paid-to-elected-members">https://www.joondalup.wa.gov.au/tb/resident/fees-expenses-and-allowances-paid-to-elected-members</a>	Complete
Jul	<b>Annual Returns</b> - Request Elected Members and Designated Employees to provide an Annual Return by no later than 31 August CEO's Annual Return must be lodged with the President / Mayor	Local Government Act 1995	s.5.76(1)	DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Annual	Governance and Strategy	Governance	Manager Governance	31/08/2023	various	3 x late annual returns which will result in non-compliance. Each of the respective employees were away on leave at the time of lodgement for annual returns.	Complete
Jul	<b>Agreement for WAEC to conduct the election</b> required by: (80% day)	Local Government Act 1995	s.4.20(2)(3)(4) / s.4.61(2)(4)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	N/A	N/A	Not required. Refer CJ174-10/18 where Council resolved to appoint WA Electoral Commission to conduct elections up until the end of 2023.	
Jul	<b>Code of Conduct for Council Members, Committee Members and Candidates</b> A biennial review of the Code of Conduct to ensure ongoing applicability of the stated principles and standards of behaviour.	Local Government Act 1995	5.104	WALGA - Model Code of Conduct for Council Members, Committee Members and Candidates	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	N/A	N/A	To be reviewed after the 2023 Local Government Elections.	
Jul	<b>Record Keeping Plan - Review</b> The LG's Record Keeping Plan must be reviewed within 5 years of its approval by the Commission Last completed: 6 July 2021 Due by: 6 July 2026	State Records Act 2000 Local Government Act 1995	s.28(5) s.5.41(h)	State Records Office website - Record Keeping Plan Templates and Guidelines	5-yearly Next Due: July 2026	Governance and Strategy	Governance	Manager Governance	N/A	N/A	Review not required in 2023.	
Jul	<b>Employees</b> - Provide all employees with payment summaries within 14 days of the end of the financial year	Taxation			Annual	Governance and Strategy	Human Resource Services	Manager Human Resource Services	3/07/2023		Aurion ATO Gateway - Full ATO Outcomes Received - 3/7/23 15:12pm - Unique ID 54687191-92F0-4F8E-8390-6F068F46C41	Complete
Jul	<b>Leases</b> - Agreements or Arrangements ("Leases") of Council Land at 30 June - Land Tax for Office of State Revenue	Land Tax Assessment Act 2002			Annual	Infrastructure Services	Asset Management	Manager Asset Management	25/07/2022	EMO22/42613	Updated spreadsheet of requested information sent to the Department of Finance on 25/7/2022 prior to the completion date of 31/7/2022.	Complete
Jul	<b>Water Licences</b> - Report on ground water usage licences to Water Corporation.	Rights in Water and Irrigation Act 1914	s. 5 (C)		Annual	Infrastructure Services	Parks and Natural Environment	Manager Parks and Natural Environment	31/07/2023		On-line reporting covering the City's annual ground usage in line with our water abstraction licences was sent to DWER.	Complete
Jul	<b>Main Roads Direct Grants</b> - Submit Annual Certificate of Completion (4B) for each Road Project completed in previous financial year	MRWA State Road Funds to Local Government Procedures	s. 8		Annual	Infrastructure Services	Engineering Services	Manager Engineering Services			No action required	
Jul	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Submit quarterly report to Main Roads WA Program Support Officer - Metropolitan Region	MRWA State Road Funds to Local Government Procedures			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services	10/07/2023	EMO23/48815		Complete
Jul	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Progress payment Certificate and Certificate of Completion with final recoupment claim to be submitted to MRWA for previous financial year	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services	N/A	N/A	No action required - All 22-23 claims submitted before 30 June	
Jul	<b>Roads to Recovery</b> - Online submission expenditure report and forecast for the next quarter	Roads to Recovery Act 2000 (Cth)			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services	31/07/2023	Submitted online.		Complete
Jul	<b>Blackspot</b> - Prepare Black Spot submissions and submit by 31 July	Main Roads Western Australia - Blackspot Roads Funding Guidelines			Annual	Infrastructure Services	Engineering Services	Manager Engineering Services	4/07/2023	INT23/34186		Complete

Jul	<b>Roads to Recovery</b> - Submit Projects for current financial year	Roads to Recovery Act 2000 (Clth)			Annual	Infrastructure Services	Engineering Services	Manager Engineering Services	25/07/2023	Submitted online.		Complete
Jul	<b>Disability Access and Inclusion Plan - Annual Report</b> Annual report on the progress of the City's Access and Inclusion Plan, reported to the Department of Communities (submitted to ELT before the DoC, and Council after the DoC).	Disability Services Act 1993	s.29C		Annually	Planning and Community Development	Community Development and Library Services	Manager Community Development & Library Services	4/08/2023	INT23/41528		Complete

Complete  
In Progress  
Behind Schedule

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
<b>August - Take Action</b>												
Aug	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services	25/07/2023	INT23/43136	Report for June 2023	Complete
Aug	<b>Elections - Statewide Public Notice Enrolment Eligibility Claims</b> - CEO to give notice of the closing date and time for elector enrolments. (to be given 70th to 56th days)	Local Government Act 1995	s.4.39(2)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	9/08/2023	EIN23/10559	Complete. Close of Enrolments Notice placed on the following channels on 09/08/2023: * City's website * City's Noticeboards * All Library Noticeboards within the City	Complete
Aug	<b>Elections</b> - CEO to advise Electoral Commissioner of the need to prepare an updated residents roll Due by 56th day before Election Day	Local Government Act 1995	s.4.40(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	30/08/2023	EIN23/10557	Complete. WAEC provided updated Residents Roll on 30/08/2023.	Complete
Aug	<b>Elections - Statewide Public Notice Call for Nominations</b> - from 56 days and no later than 45th day before Election Day.	Local Government Act 1995	s.4.47(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	23/08/2023	EIN23/10558	Call for Nominations Notice placed on the following channels on 23/08/2023: * City's website * City's Noticeboards	Complete
Aug	<b>Elections - Close of Rolls</b> at 5pm on 50th day before Election Day. Enrolment eligibility claims received by 5pm can continue to be processed with a decision on eligibility required for inclusion in the Owners and Occupiers Roll, as appropriate before it is certified by the CEO on the 36th day before Election Day [refer s.4.4(1)]	Local Government Act 1995	s.4.39(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	29/08/2023	EMO23/55589	Complete. Owners & Occupiers Roll closed off at 5pm 25/08/2023 and sent to WAEC on 29/08/2023.	Complete
Aug	<b>Annual Returns</b> - Elected Members and Designated Employees to provide an Annual Return by no later than <b>31 August</b> CEO's Annual Return must be lodged with the President / Mayor.	Local Government Act 1995	s.5.76(1)	DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	31/08/2023	EMI23/7078	3 Late Returns due to staff being on annual leave. Relevant employees will be contacted immediately upon their return to work to complete Annual Return and CCC notified of breach.	Complete
Aug	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance	N/A	N/A	Gifts Register not uploaded to the website in August.	In Progress
Aug	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Progress payment Certificate and Certificate of Completion with final recoupment claim to be submitted to MRWA for previous financial year.	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services		INT23/46985 INT23/48015		Complete
Aug	<b>Private Swimming Pool Inspection</b> Reporting to be provided to Building Commissioner: including total number of private pools, total number inspected in the previous financial year, and total number not inspected within 4 years of the preceding inspection.	N/A	N/A		Annual Due by: <b>1 August</b>	Planning and Community Development	Regulatory Services	Manager Regulatory Services	3/07/2023	EMO23/41015	Response to request letter from DMIRS	Complete
Aug	<b>Food Act and Public Health Act reporting</b> - Enforcement agencies must report to the Dep1 CEO on performance of functions under Acts. Reporting has been combined and must be submitted online by <b>31 August</b> .	Food Act 2008 Public Health Act 2016	s.121(1) s.22(1)	Department of Health website - Reporting requirements pages	Annual Due by: <b>31 August</b>	Planning and Community Development	Regulatory Services	Manager Regulatory Services	31/08/2023	OUT23/6532 - Food Act Reporting INT23/48407 - Public Health Act Reporting		Complete
Aug	<b>Library Statistics</b> - Submit annual statistical returns relevant to library usage and financials to State Library of WA	Library Statistical Return and Local Government Financial Return			Annual	Planning and Community Development	Community Development and Library Services	Manager Community Development & Library Services	28/08/2023	INT23/47300	Completed, submitted 28 August 2023	Complete

Complete  
In Progress  
Behind Schedule

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
<b>September - Take Action</b>												
Sep	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services		INT23/55393	Report for July 2023	Complete
Sep	<b>Payments from municipal fund or trust fund</b> LG is to prepare a list of accounts for approval to be paid is to be prepared each month each month and presented to the council at the next ordinary meeting of the council after the list is prepared.	Local Government Act 1995	FM.Reg.13		Monthly	Corporate Services	Financial Services	Manager Financial Services		INT23/55389	Report for July 2023	Complete
Sep	<b>Payment by employees via purchasing cards</b> LG is to prepare a list of payments made using credit, debit or other purchasing cards, and present to the council at the next ordinary meeting of council after the list is prepared.	Local Government Act 1995	FM.Reg.13		Monthly	Corporate Services	Financial Services	Manager Financial Services		INT23/55398	Report for July 2023	Complete
Sep	<b>Emergency Services Levy - Option B Payment Due by: 21 of the month</b> and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures		DFES - ESL Manual of Operating Procedures	Quarterly	Corporate Services	Financial Services	Manager Financial Services	N/A	N/A	Not applicable - CoJ does not operate under Option A. Option B does not require Form C to be submitted.	
Sep	<b>Annual Financial Report</b> - Last day to be submitted to Auditor <b>Due 30 September</b>	Local Government Act 1995	s. 6.4(3)		Annual	Corporate Services	Financial Services	Manager Financial Services	29/09/2023	EIN23/12827		Complete
Sep	<b>Annual Financial Report</b> - Prepare and submit to the Auditor. Content of Annual Report to comply with FM.Reg.38(2) <b>Due: 30/09/2023</b>	Local Government Act 1995	s.6.4 FM.Reg.36	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services	29/9/23%	EIN23/12827		Complete
Sep	<b>Financial Interests Register - Review</b> Issue and review Primary Returns; Update Register - Add/remove entries; Update disclosures on website.	Local Government Act 1995	s.5.88(3)(4)	WALGA - Governance Subscription - Guideline - Primary and Annual Returns Management DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Bi-monthly	Governance and Strategy	Governance	Manager Governance	28/09/2023	INT23/54831 INT23/54832 INT23/54833	2023-24 Primary Returns (Officers) is provided on City's website, there are no EM Primary returns received during the period to date.  2023 Annual Returns Reporting for Officers and Elected Members available on website.  Primary and Annual Return register in Attain are maintained on an ongoing basis.	Complete
Sep	<b>Elected Members - Review Meeting Attendance Register</b> - check EMs have not been absent for 3 consecutive meetings without Leave of Absence being granted	Local Government Act 1995	s.2.25		Quarterly	Governance and Strategy	Governance	Manager Governance	26/09/2023	INT23/34184	EM Council Meeting Attendance Register reviewed. All Elected Members compliant with the requirements of s2.25 of the LGA.	Complete
Sep	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance	2/10/2023	INT23/55312	Updated Gifts Register for CEO and Elected Members published to the City's website.	Complete
Sep	<b>Elections - Nominations Open</b> -(44th day before Election Day) First day for candidates to lodge completed nomination papers with the returning officer. Nominations are open for eight days	Local Government Act 1995	s.4.49(a)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	31/08/2023	N/A	Noted. Candidate nominations processed and placed on the City's website and notice board as received.	Complete
Sep	<b>Elections - Nominations Close</b> at 4pm on (37th day before Election Day)	Local Government Act 1995	s.4.49(a)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	7/09/2023	N/A	Noted. Candidate nominations processed and placed on the City's website and notice board as received.	Complete
Sep	<b>Elections - Candidate / Donor Gift Disclosures</b> - CEO written advice to Candidates of Elections Gift Disclosure obligations.	Local Government Act 1995	s.4.59 Elections Regs Part 5A Form 9A		Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	26/09/2023		Candidates emailed gift disclosure requirements.	Complete
Sep	<b>Elections - Residents Roll</b> to be prepared by Electoral Commissioner and forwarded to CEO - Due by 36th day before Election Day	Local Government Act 1995	s.4.40(2)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	30/08/2023		Email received from WAEC advising that the Residents Roll was available for download.	Complete
Sep	<b>Elections - Owners and Occupiers Roll</b> to be prepared and certified by CEO Due by 36th day before Election Day	Local Government Act 1995	s.4.41(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	29/08/2023	EMO23/55589	Complete. Owners & Occupiers Roll closed off at 5pm 25/08/2023 and sent to WAEC on 29/08/2023.	Complete
Sep	<b>Elections - Statewide Public Notice of Election Day</b> by Returning Officer - between 36th and 19th day before Election Day	Local Government Act 1995	s.4.64(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	20/09/2023		Complete. Published on the City's website, local government notice boards, all libraries notice boards, newspaper and social media channels.	Complete
Sep	<b>Elections - Consolidated Roll</b> (Resident / Owners and Occupiers) at Returning Officer's discretion, to be completed by (22nd day before Election Day)	Local Government Act 1995	s.4.38(1) Elections Reg.18	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	N/A	N/A	Not required.	

Sep	<b>Elections - Supply of Rolls</b> - CEO to provide Returning Officer with sufficient rolls and copies to be provided free of charge to candidates and Elected Members who ask	Local Government Act 1995	s.4.42		Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	30/09/2023		Email sent to Returning Officer with copy of Resident / Owners and Occupiers Roll. Note: Returning Officer has printer in Lakeside room to print copies of the rolls for candidates.	Complete
Sep	<b>Council</b> - Mayor to call special Council Meetings post elections for election of Deputy Mayor and appointment to Committees and external boards - Agenda - Public Notice (if required)	Local Government Act 1995	s. 5.4		Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	26/09/2023	EIN23/12636		Complete
Sep	<b>Report on Waste Plan</b> - Perth, Peel and major regional centre LGs must submit report on the implementation of their waste plan, including any or all of matters in s.44(2) required by the CEO of DWER. First due: 1 October 2021, then annually by 1 October	Waste Avoidance and Resource Recovery Act 2007	s.44		Annually Due 1 October	Infrastructure Services	Waste Services	Coordinator Waste Services	26/09/2023	EIN23/12725	Submission completed, sent to DWER and finalised/accepted on the 27/9/23.	Complete
Sep	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Progress payment Certificate and Certificate of Completion with final recoupment claim to be submitted to MRWA for previous financial year	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services		INT23/49679		Complete
Sep	<b>Regional Homelessness Plan</b> - Annual Review of the plan communicated to Elected Members via Desk of the CEO item after ELT approval.	Best practice.		DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual	Planning and Community Development	Community Development and Library Services	Manager Community Development & Library Services			This will be reported to Council at its December meeting (along with the Access and Inclusion Plan & Age-Friendly Plan)	In Progress
Sep	<b>Age-Friendly Plan</b> - Annual Review of the plan communicated to Elected Members via Desk of CEO item after ELT approval.	Best practice.		DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual	Planning and Community Development	Community Development and Library Services	Manager Community Development & Library Services			This will be reported to Council at its December meeting (along with the Access and Inclusion Plan & Regional Homelessness Plan)	In Progress

Complete  
In Progress  
Behind Schedule



	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Position Title Officer Responsible for Action Compliance	Position Title Officer Responsible for Action Compliance	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
	<b>October - Take Action</b>											
Oct	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services	3/10/2023	INT23/56701	Report for August 2023	Complete
Oct	<b>Payments from municipal fund or trust fund</b> LG is to prepare a list of accounts for approval to be paid is to be prepared each month each month and presented to the council at the next ordinary meeting of the council after the list is prepared.	Local Government Act 1995	FM.Reg.13		Monthly	Corporate Services	Financial Services	Manager Financial Services	19/09/2023	INT23/57690	Report for August 2023	Complete
Oct	<b>Payment by employees via purchasing cards</b> LG is to prepare a list of payments made using credit, debit or other purchasing cards, and present to the council at the next ordinary meeting of council after the list is prepared.	Local Government Act 1995	FM.Reg.13		Monthly	Corporate Services	Financial Services	Manager Financial Services	26/09/2023	INT23/60242	Report for August 2023	Complete
Oct	<b>Water Efficiency Management Report</b> Annual reporting as part of the Waterwise Business Program to manage water efficiency and use	N/A	N/A	Water Corp Customer requirement	Annual - Q2	Corporate Services	Leisure and Cultural Services	Manager Leisure and Cultural Services	1/09/2023	EIN23/13029		Complete
Oct	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance	7/11/2023		Uploaded to the City's website.	Complete
Oct	<b>Council / Committee Meeting Schedule</b> - At least once per year, give Local Public Notice of the meeting schedule for next 12 months	Local Government Act 1995	s.5.25(1)(g) Admin.Reg.12		Annual	Governance and Strategy	Governance	Manager Governance	28/11/2023		Report prepared. To be submitted to the Council meeting on 28 November 2023.	In Progress
Oct	<b>Review Council Member Continuing Professional Development Policy</b> LG must review the policy after each ordinary election.	Local Government Act 1995	s.5.128		Biennial: Next Due: 2023	Governance and Strategy	Governance	Manager Governance	20/11/2023		Report prepared. To be submitted to the Policy Committee meeting on 20 November 2023.	In Progress
Oct	<b>Elections - Close of Absent Voting / Postal Voting Applications</b> for 'in-person' elections (4th day before Election Day)	Local Government Act 1995	s.4.68(1)(c) Elections Reg.37(3)(4)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	N/A	N/A	N/A	Complete
Oct	<b>Elections - Close of Early Voting</b> 4.00pm or 'in-person' elections.	Local Government Act 1995	s.4.71(1)(3) Elections Reg.59(2)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	N/A	N/A	N/A	Complete
Oct	<b>Election Day - Close of Poll</b> 6.00pm	Local Government Act 1995	s.4.7 s.4.68(1)(e)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	21/10/2023.			Complete
Oct	<b>Elections - Result declared and published</b> as Local Public Notice by Returning Officer as soon as practicable	Local Government Act 1995	s.4.77 Elections Reg.80	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	6/11/2023		Election Results Notice published in the following locations from the week beginning 6/11/2023: * Local notice boards at Admin Centre * Local notice boards at Library * City's website * Social Media Channels * Local newspaper * WAEC website	Complete
Oct	<b>Elections - Declarations of Office</b> for new Elected Members, Shire President / Mayor and Deputy Shire President / Mayor sworn in following Election Day (2 months from declaration of result - s.2.32(c))	Local Government Act 1995	s.2.29	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	25/10/2023		Swearing-in ceremony held on Wednesday 25 October 2023.	Complete
Oct	<b>Elections - Report to Minister</b> (by 14th day after election)	Local Government Act 1995	s.4.79 Elections Reg.81	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	N/A		Report to Minister for Ordinary Election to be completed by Returning Officer.	Complete
Oct	<b>Primary Returns</b> - Request new Elected Members - required to be lodged with CEO within 3 months of making Declarations of Office 24/10/2023	Local Government Act 1995	s.5.75(1)	WALGA - Governance Subscription Guideline - Primary and Annual Returns Management. DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	30/10/2023	EMO23/71290 EMO23/71286 EMO23/71285 EMO23/71284	Emails sent to new Elected Members on 30/11/2023 with information regarding completion of the Primary Return.	Complete
Oct	<b>Elections - Election Papers</b> collected and secured in one or more parcels by Returning Officer	Local Government Act 1995	s.4.84(a) Elections Reg.82	DLGSC Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	31/10/2023		Election papers collected by WAEC on 31/10/2023.	Complete
Oct	<b>Election of Deputy Mayor</b> - elected from amongst the Councillors - conducted in accordance with Schedule 2.3, Div.1 - <b>SCM - 24-10-2023</b>	Local Government Act 1995	s.2.11(1)(b) Schedule 2.3,Div.1		Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	25/10/2023		Election of Deputy Mayor conducted at the Special meeting of Council on Wednesday 25/10/2023.	Complete

Oct	<b>CEO Authority to Speak on behalf of the LG</b> - if new Mayor is elected, seek / obtain written authority from Mayor for CEO to speak on behalf of the Local Government.	Local Government Act 1995	s.5.41(f)		Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance	N/A		N/A	
Oct	<b>Appointment of Elected Members to External Bodies - SCM - 24-10-2023</b>				Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	6/11/2023		Appointments to MRC, CRC, WALGA - North Zone, Council-created Committees, and various external bodies made at the Special Council meeting held on 6 November 2023.	Complete
Oct	<b>Elections</b> - Refund candidate deposits following advice from WAEC	Local Government (Elections) Regulations 1997	Reg. 27		Biennial 2023	Governance and Strategy	Governance	Manager Governance			Waiting on confirmation from WAEC.	In Progress
Oct	<b>Electoral Gifts Register</b> - Remove any unsuccessful candidates disclosures from Electoral Gift Register	Local Government (Elections) Regulations 1997	Reg. 30G(3)		Biennial 2023	Governance and Strategy	Governance	Manager Governance	N/A		No entries on the Electoral Gift Register for 2023.	Complete
Oct	<b>Gift Register - Review</b> After a person ceases to be an Elected Member [s.5.87A] or CEO [s.5.87B] required to disclose gifts, the CEO is required to remove from the register all records relating to that person. These records must be retained as LG records for a period of at least 5-years and be made available for public inspection.	Local Government Act 1995	s.5.89A(6) & (7)		Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	1/11/2023		Entries for Councillors Mclean, Logan, Poliwka and Thompson have been removed from the Gift Register.	Complete
Oct	<b>FOI Statement</b> - Commence review City's Information Statement (and FOI processes)	Freedom of Information Act 1992	s94-97		Annual	Governance and Strategy	Governance	Manager Governance	1/10/2023		Review of FOI Statement commenced on 1/10/2023.	In Progress
Oct	<b>Elected Member Induction</b> - Provide an induction for newly elected Councillors.	n/a	n/a		Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance	26/10/2023		Elected Member Induction Program has commenced with the following inductions completed: * Organisational Overview * EM Roles & Responsibilities * Integrated Planning & Reporting * Financial Budgets	In Progress
Oct	<b>Council / Committee Meeting Schedule</b> - At least once per year, determine meeting schedule for next 12 months (see January - and give Local Public Notice)	Local Government Act 1995	s.5.25(1)(g) Admin.Reg.12		Annual	Governance and Strategy	Governance	Manager Governance			Report prepared. Scheduled to be presented to the Council meeting on 28 November 2023.	In Progress
Oct	<b>Annual Performance Review</b> - CEO & Staff Development Review - Audit	Local Government Act 1995	s. 5. 38		half-yearly	Governance and Strategy	Governance	Manager Human Resource Services	NA	19983	CEO Annual Performance Review considered by the CEO Recruitment and Performance Review Committee at meetings held 28 August, 13 September and 9 October 2023. Review not complete and in progress. IDAP review for staff performance in progress - estimated report and competition November 2023. 66% of all IDAPs have been finalised 54% are in finalisation	In Progress
Oct	<b>Local Emergency Management</b> - Annual report of Local emergency management committee	Emergency Management Act 2005	s. 40 (1)		Annual	Infrastructure Services	Asset Management	Manager Asset Management	23/05/2023	EMO23/73382	Survey from DFES completed early in May.	Complete
Oct	<b>ABS</b> - Submit quarterly road construction report to Australian Bureau of Statistics				Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services			Submitted online.	Complete
Oct	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Submit quarterly report to Main Roads WA Program Support Officer - Metropolitan Region	MRWA State Road Funds to Local Government Procedures			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services			OUT23/9249	Complete

Oct	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Progress payment Certificate and Certificate of Completion with final recoupment claim to be submitted to MRWA for previous financial year	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services			No action required - no milestones achieved in this period	In Progress
Oct	<b>Roads to Recovery</b> - Online submission expenditure report and forecast for the next quarter	Roads to Recovery Act 2000 (Cith)			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services		Submitted online.		Complete
Oct	<b>Metropolitan Regional Road Group (MRRG) Road Improvement Grant Funding</b> - Submit Road Rehabilitation Grant Submission to Main Roads	MRWA State Road Funds to Local Government Procedures			Annual	Infrastructure Services	Engineering Services	Manager Engineering Services			No action required - no milestones achieved in this period - ( Application are submitted in April each year )	In Progress
Oct	<b>Bush Fires</b> - Advertise prohibited burning times	Bush Fires Act 1954	s. 17(8)		Annual	Planning and Community Development	Community Safety	Manager Community Safety				Complete
Oct	<b>Bush Fires</b> - Fire Break Notices - Advertise - Local Public Notice	Bush Fires Act 1954	s. 33		Annual	Planning and Community Development	Community Safety	Manager Community Safety				Complete

Complete  
In Progress  
Behind Schedule

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
	<b>November - Take Action</b>											
Nov	<b>Public Interest Disclosure Officer</b> - CEO must appoint a specified position with the authority as the person responsible for receiving public interest disclosures. PID Officer Declaration Form must be completed and provided to the PSC Commissioner	Public Interest Disclosure Act 2003	s.23(1)(a)	<b>Public Sector Commission Website</b> - PID Officer's Code of Conduct and Integrity <b>Public Sector Commission Website</b> - PID Officer's Declaration Form	Annual	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services	1/11/2019	INT19/54834 and INT19/55568 - Signed Public Interest Disclosure Officer's Declaration Forms  Public Sector Commission website - Public interest disclosure officer contact directory - <a href="https://www.wa.gov.au/system/files/2023-05/PID%20officer%20contact%20directory.pdf">https://www.wa.gov.au/system/files/2023-05/PID%20officer%20contact%20directory.pdf</a>		Complete
Nov	<b>Public Interest Disclosure Procedures</b> - LG must prepare and publish internal procedures relating to the LG's obligations under the PID Act. Procedures must be consistent with the Commissioner's Guidelines.	Public Interest Disclosure Act 2003	s.21 and s.23(1)(e), (2)	<b>Public Sector Commission Website</b> - Commissioner's Guidelines for Public Authorities	Annual	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services	1/11/2022	INT22/56712 - Fact Sheet INT22/56696 - Protocol	Promapp procedures in draft version - being updated	In Progress
Nov	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	<b>DLGSC website</b> - WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Nov	<b>Payments from municipal fund or trust fund</b> LG is to prepare a list of accounts for approval to be paid is to be prepared each month each month and presented to the council at the next ordinary meeting of the council after the list is prepared.	Local Government Act 1995	FM.Reg.13		Monthly	Corporate Services	Financial Services	Manager Financial Services				
Nov	<b>Payment by employees via purchasing cards</b> LG is to prepare a list of payments made using credit, debit or other purchasing cards, and present to the council at the next ordinary meeting of council after the list is prepared.	Local Government Act 1995	FM.Reg.13		Monthly	Corporate Services	Financial Services	Manager Financial Services				
Nov	<b>Annual Financial Report - Audit by 31 December</b> An auditor is required to examine the accounts and annual financial report and provide a report by 31 December	Local Government Act 1995	s.7.9 s.7.12AB	<b>DLGSC website</b> - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Nov	<b>Annual Report - Auditor Report CEO Certified</b> After the annual financial statements have been audited, the CEO is to sign and append to the auditors report a declaration (Form 1).	Local Government Act 1995	Fin.Mgt.Reg.51(1)	<b>DLGSC website</b> - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Nov	<b>Audit - Auditor's Report to Council via Audit Committee</b> Prepare report, presenting the Auditor's report that: • determines any matters raised by the audit report; and • stating what action is taken in respect of those matters	Local Government Act 1995	s.7.12A(3) s.7.13		Annual or as required	Corporate Services	Financial Services	Manager Financial Services				
Nov	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s.5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance				
Nov	<b>Elections - Destruction of Election Papers</b> - parcels which are more than 4 years old may be destroyed, supervised by CEO and witnessed by at least 2 employees OR to secure paper destruction company	Local Government Act 1995	s.4.84(a) Elections Reg.82	<b>DLGSC website</b> - Returning Officer Manual	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance				
Nov	<b>Establishment of Audit Committee</b> - following Elections, Council must establish an Audit Committee - with membership of 3 or more persons, by Absolute Majority, and appoint committee members and deputies. Each Elected Member is entitled to be a member of at least one committee.	Local Government Act 1995	s.7.1A s.5.8 s.5.9 s.5.10 s.5.11A s.5.11		Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance				
Nov	<b>Establishment of Committees</b> - following Elections, Council may establish committees (other than Audit) of 3 or more persons, by Absolute Majority, and appoint committee members and deputies. Each Elected Member is entitled to be a member of at least one committee.	Local Government Act 1995	s.5.8 s.5.9 s.5.10 s.5.11A s.5.11		Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance				
Nov	<b>Establishment of Committees</b> - Each committee has been established with a Terms of Reference, that details the purpose of the Committee and the scope of matters that the Committee will deal with.	Local Government Act 1995	s.5.8		Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance				

Nov	<b>Election of Committee Presiding Members and deputies</b> - conducted in accordance with Schedule 2.3, Div.1	Local Government Act 1995	s.5.12 Schedule 2.3, Div.1		Biennial <b>Next due 2023</b>	Governance and Strategy	Governance	Manager Governance				
Nov	<b>Election Papers</b> - election of Deputy Mayor and Committee Presiding Members and deputies - Election Papers collected and secured in parcels	Local Government Act 1995	s.4.84(a) Elections Reg.82		Biennial <b>Next due 2023</b>	Governance and Strategy	Governance	Manager Governance				
Nov	<b>Elections - Enrolment Eligibility Claims (Owners and Occupiers) Register</b> - Review register and take action re expired Eligibility Claims (no longer property owner / claim based on occupation or nominee expired)	Local Government Act 1995	s.4.35 Elections Regs.14 and 15 Form 6 and 7	WALGA website - Template Enrolment Eligibility Claims Register	Biannual (Apr & Nov)	Governance and Strategy	Governance	Manager Governance				
Nov	<b>Financial Interests Register - Review</b> Issue and review Primary Returns; Update Register - Add/remove entries; Update disclosures on website.	Local Government Act 1995	s.5.88(3)(4)	WALGA - Governance Subscription - Guideline - Primary and Annual Returns Management DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Bi-monthly	Governance and Strategy	Governance	Manager Governance				
Nov	<b>Gifts</b> - Send reminder memo to staff and Elected Members re. Christmas gifts.	Local Government Act 1995	s. 5.82		Yearly	Governance and Strategy	Governance	Manager Governance				
Nov	<b>Local Emergency Management Committee</b> - Hold committee meeting quarterly in accordance with the Act	Emergency Management Act 2005	s. 38		Quarterly	Infrastructure Services	Asset Management	Manager Asset Management	8/11/2022	INT23/24293 - Minutes LEMC Meeting 8 Nov 2022		
Nov	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Progress payment Certificate and Certificate of Completion with final recoupment claim to be submitted to MRWA for previous financial year	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				
Nov	<b>Subdivisions</b> - Notify WAPC of applications determined for the issuing of a certificate of approval under section 25 of the Strata Titles Act 1985	Planning and Development Act 2005 (Delegation Notice DEL 2009/03 Gazetted 9 June 2009)	s. 16		Monthly	Planning and Community Development	Planning Services	Manager Planning Services				

Complete  
In Progress  
Behind Schedule

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
<b>December - Take Action</b>												
Dec	<b>Business Continuity Plan - Review</b> Review the Business Continuity Plan to ensure it remains functional and is tested against current operational requirements. Last completed: 2013 Next Due: 31/12/2023	n/a	n/a	AS/NZS 5050:2010 Business continuity – Managing disruption-related risks	Biennial Next Due: 2025	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				Complete
Dec	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC website - WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Dec	<b>Payments from municipal fund or trust fund</b> LG is to prepare a list of accounts for approval to be paid is to be prepared each month each month and presented to the council at the next ordinary meeting of the council after the list is prepared.	Local Government Act 1995	FM.Reg.13		Monthly	Corporate Services	Financial Services	Manager Financial Services				
Dec	<b>Payment by employees via purchasing cards</b> LG is to prepare a list of payments made using credit, debit or other purchasing cards, and present to the council at the next ordinary meeting of council after the list is prepared.	Local Government Act 1995	FM.Reg.13		Monthly	Corporate Services	Financial Services	Manager Financial Services				
Dec	<b>Emergency Services Levy - Remittance</b> <b>DUE by: 21st of the month</b> Option A Remittance Report - see Form B Schedule 5 and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures	Clause 5.13.	DFES -ESL website - Manual of Operating Procedures	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Dec	<b>Emergency Services Levy - Option B Payment</b> <b>Due by: 21 December</b> and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures		DFES -ESL website - Manual of Operating Procedures	Quarterly	Corporate Services	Financial Services	Manager Financial Services				
Dec	<b>Annual Report - Auditor Report to Department Executive Director</b> Copy of the Annual Financial Report is to be submitted to the DLGSCI Executive Director within 30 days of the receipt by the CEO of the Auditors Report.	Local Government Act 1995	FM.Reg.51(2)	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Dec	<b>Audit - Auditor's Report Copies provided</b> Copy of the Audit report to be provided to the President / Mayor, CEO and the Minister within 30 days of completing the audit.	Local Government Act 1995	s.7.9 Audit.Reg.10(1)		Annual	Corporate Services	Financial Services	Manager Financial Services				
Dec	<b>Annual Report - Accepted</b> , by Absolute Majority, by no later than <b>31st December</b> . 5.54 (2) If auditor's report is not available in time for annual report to be accepted by 31/12, the AR is to be accepted by the LGA no later than 2 mths after the auditor's report becomes available.	Local Government Act 1995	s.5.53 s.5.54	DLGSCI website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Strategic and Organisational Development				
Dec	<b>Master Compliance Calendar - Review</b> Review the Master Compliance Calendar content and consult with the LGs CEO, Executive and key employees to identify any additional Compliance Actions for inclusion in the next year's Master Compliance Calendar.	n/a	n/a		Annual	Governance and Strategy	Governance	Manager Governance				
Dec	<b>Elected Members - Review Meeting Attendance</b> Register - check EMs have not been absent for 3 consecutive meetings without Leave of Absence being granted	Local Government Act 1995	s.2.25		Quarterly	Governance and Strategy	Governance	Manager Governance				
Dec	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance				
Dec	<b>Information Statement</b> LG must publish an up-to-date Information Statement, reviewed within every 12-months Last completed: Dec 2022 Due by: Dec 2023	Freedom of Information Act 1992	s.96		Annual	Governance and Strategy	Governance	Manager Governance				
Dec	<b>ABS</b> - Submit quarterly road construction report to Australian Bureau of Statistics				Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				

Dec	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Progress payment Certificate and Certificate of Completion with final recoupment claim to be submitted to MRWA for previous financial year	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				
Dec	<b>Local Emergency Management</b> - Minor review local emergency management arrangements for the City and report to the SEMC as soon as they are prepared or amended.	Emergency Management Act 2005	s. 41		Annual	Infrastructure Services	Asset Management	Manager Asset Management	N/A	N/A	Not required this year as full review was completed.	
Dec	<b>Local Government Road Asset &amp; Expenditure Report</b> - Submit Expenditure Report to WALGA / Grants Commission				Annual	Infrastructure Services	Asset Management	Manager Asset Management	17/10/2022	EMO22/62497		
Dec	<b>Budget New</b> - Determine Swimming Pool Inspection Fees for annual budget by 24 January	Building Regulations 2012	Reg. 53(2)		Annual	Planning and Community Development	Regulatory Services	Manager Regulatory Services				
Dec	<b>Local Heritage Survey - Updates and reviews</b> LG must prepare a local heritage survey. LGs should have a procedure for administrative updates, ad hoc reviews, and general reviews at intervals set by the LG.	Heritage Act 2018	s103(1), (2)	<b>Heritage Council</b> Guidelines for Local Heritage Surveys	Annual	Planning and Community Development	Planning Services	Manager Planning Services			Preparation of draft Local Heritage Survey is underway (refer CM 10385). Scheduled to be completed 2023/24	

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	<b>January - Take Action</b>											
Jan	<b>Official Conduct Complaints Officer</b> - Local Government has designated a Senior Employee [s.5.37] as its Complaints Officer, if not, then the CEO is the Complaints Officer.	Local Government Act 1995	s.5.120	DLGSCI Website - Local Government Standards Panel	Annual	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
Jan	<b>Compliance Audit Return - Commence Audit</b> Commence the Compliance Audit Return as an internal audit. <b>Due: 31 March</b>	Local Government Act 1995	s.7.13(1)(i) Audit, Regs. 13, 14 and 15		Annual	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
Jan	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within <b>2-months</b> after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Jan	<b>Chlorine Gas Safety Audit</b> In line with the issuing of the Dangerous Good Licence for the storage of 2x 920L chlorine gas drums at Craigie Leisure Centre, the City is required to undertake a chlorine gas audit to support the renewal every 5 years.	Dangerous Goods Safety Act 2004	Div 81		5 yearly, Next due 2026	Corporate Services	Leisure and Cultural Services	Manger Leisure and Cultural Services				
Jan	<b>Safety Assessment and Improvement Plan</b> Conducted in partnership with LGIS and Royal Life Saving WA to review the safety standards of aquatic centres against the Code of Practice, Chlorine gas Astandards and Health regulations	N/A	N/A	LGIS Member service	3 yearly, due 2024	Corporate Services	Leisure and Cultural Services	Manger Leisure and Cultural Services				
Jan	<b>Public Access to Information - Audit</b> Check LG website to ensure all information listed in s.5.94, s.5.96A and Admin. Reg.29 is publicly accessible (see s.5.96 too).	Local Government Act 1995	s.5.94 Admin. Reg.29 s.5.95 s.5.96 s.5.96A Admin. Regs 29A and 29B	WALGA - Governance Subscription Good Governance in Practice Resource - Public Information Access & LG Website Information Guide	Annual	Governance and Strategy	Governance	Manager Governance				
Jan	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance				
Jan	<b>Financial Interests Register - Review</b> Issue and review Primary Returns; Update Register - Add / Remove entries; Update disclosures on website.	Local Government Act 1995	s.5.88(3)(4)		Bi-monthly	Governance and Strategy	Governance	Manager Governance				
Jan	<b>Code of Conduct for Employees</b> The CEO must prepare and implement a code of conduct to be observed by employees of the local government. CoJ requirement to conduct biennial review.	Local Government Act 1995	5.51A	WALGA - Model Code of Conduct for Employees.	Biennial <b>Next Due: 2023</b>	Governance and Strategy	Governance	Manager Governance				
Jan	<b>Agreement for WAEC to conduct the Election</b> Report to Council. <b>Due: 1 August</b>	Local Government Act 1995	s.4.20(2)(3)(4) s.4.61(2)(4)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial <b>Next Due: 2024</b>	Governance and Strategy	Governance	Manager Governance				
Jan	<b>Primary Returns</b> - New Elected Members - required to be lodged with CEO within <b>3 months</b> of making Declarations of Office <b>Due by: 24 Jan 2024</b>	Local Government Act 1995	s.5.75(1)	WALGA - Governance Subscription - Guideline - Primary and Annual Returns Management DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Biennial <b>Next due 2024</b>	Governance and Strategy	Governance	Manager Governance				
Jan	<b>Authorised Persons - Review</b> Review the LG's authorised persons to ensure authorisations are accurate, valid and the correct certificates of authorisation and / or identity cards have been issued	Various		WALGA - Governance Subscription - Decision Making in Practice Toolkit - Part 3 Authorisations	Annual	Governance and Strategy	Governance	Manager Governance				
Jan	<b>Occupational Safety and Health</b> - Review of occupational safety and health processes to ensure compliance with City's legislative requirements	Occupational Safety and Health Act 1984	s.19		Annual	Governance and Strategy	Human Resource Services	Manager Human Resource Services				
Jan	<b>Metropolitan Regional Road Grants</b> - submit quarterly report				Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				



	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Officer Responsible	Date Completed	Records Ref <i>(Evidence of completion)</i>	Comments. If Action not completed, report on plan to rectify non-compliance	Status
Jan	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Submit quarterly report to Main Roads WA Program Support Officer - Metropolitan Region	MRWA State Road Funds to Local Government Procedures			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				
Jan	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Progress payment Certificate and Certificate of Completion with final recoupment claim to be submitted to MRWA for previous financial year	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				
Jan	<b>Roads to Recovery</b> - Online submission expenditure report and forecast for the next quarter	Roads to Recovery Act 2000 (Clth)			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				
Jan	<b>Impounded Vehicles</b> - Conduct Audit to ensure that OWNERS of all impounded vehicles were identified and notified within 7 days of impounding vehicle	Local Government Act 1995	s. 3.40A (2)		Annual	Planning and Community Development	Community Safety	Manager Community Safety				

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<b>February - Take Action</b>												
Feb	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Feb	<b>Annual Electors' General Meeting - Local Public Notice of AEGM</b> - CEO to give at least 14 days local public notice of AEGM	Local Government Act 1995	s.5.27 s.5.29 Admin. Regs. 15, 17 and 18.		Annual	Governance and Strategy	Governance	Manager Governance				
Feb	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance				
Feb	<b>Local Laws Review</b> - Within a period of 8 years from the day when a local law commenced, or a report of a review of the local law was accepted under this section, a local government is to carry out a review of the local law to determine whether or not it considers that it should be repealed or amended. <b>Last Reviewed: 16/02/2021</b>	Local Government Act 1995	3.16(1)	WALGA website - Local Laws Manual Subscription Service DLGSC website - Local Laws Statutory Procedures Checklist DLGSC website - Local Laws Register	8-yearly <b>Next Due: 2029</b>	Governance and Strategy	Governance	Manager Governance				
Feb	<b>Ward Boundary Review</b> last completed on 16 November 2021 (CJ156-11/21 refers). <b>Last Reviewed: 16/11/2021</b> <b>Next due by: 27/02/2029</b>	Local Government Act 1995	s.2.2 Sch.2.2(6)		8-yearly <b>Next Due: 2029</b>	Governance and Strategy	Governance	Manager Governance				
Feb	<b>Local Emergency Management Committee</b> - Hold committee meeting quarterly in accordance with the Act	Emergency Management Act 2005	s. 38		Quarterly	Infrastructure Services	Asset Management	Manager Asset Management				
Feb	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Progress payment Certificate and Certificate of Completion with final recoupment claim to be submitted to MRWA for previous financial year	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				
Feb	<b>Caravan Park / Camping Ground Facility Annual Inspection</b> Local Government is to inspect each facility in its District so that not more than 12 months elapses between inspections.	Caravan Parks and Camping Grounds Act 1995	s.21		Annual	Planning and Community Development	Regulatory Services	Manager Regulatory Services				

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	<b>March - Take Action</b>											
Mar	<b>Compliance Audit Return - Report to Audit Committee</b> Compliance Audit Return, report considered by Audit Committee, with recommendations to Council. <b>Note</b> - Schedule Committee / Council consideration with sufficient time to enable submission to DLGSCI by 31 March	Local Government Act 1995	s.7.13(1)(i) Audit Regs. 13, 14 and 15		Annual <b>Due: 31 March</b>	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
Mar	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.221(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Mar	<b>Emergency Services Levy - Option B Payment Due by: 21 March</b> and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures		DFES -ESL Manual of Operating Procedures	Quarterly	Corporate Services	Financial Services	Manager Financial Services				
Mar	<b>Annual Budget - Review</b> Between 1 January and 31 March in each financial year, a review of the annual budget is to be carried out. - Review must be submitted to Council within 30 days after it has been carried out. - Council is to consider the review and determine, by absolute majority, whether or not to adopt the review, any parts of the review or any recommendations made in the review <b>DUE: 31 March</b>	Local Government Act 1995	FM Reg.33A(1) (2A) (2) (3)	DLGSC website - WA Local Government Accounting Manual	Annual <b>Due: 31 March</b>	Corporate Services	Financial Services	Manager Financial Services				
Mar	<b>Financial Interests Register - Review</b> Issue and review Primary Returns; Update Register - Add/remove entries; Update disclosures on website.	Local Government Act 1995	s.5.88(3)(4)		Bi-monthly	Governance and Strategy	Governance	Manager Governance				
Mar	<b>Elected Members - Review Meeting Attendance Register</b> - check EMs have not been absent for 3 consecutive meetings without Leave of Absence being granted	Local Government Act 1995	s.2.25		Quarterly	Governance and Strategy	Governance	Manager Governance				
Mar	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance				
Mar	<b>Annual Electors' General Meeting</b> - to be held once every financial year on a day selected by the LG but not more than 56 days after the Annual Report has been adopted.	Local Government Act 1995	s.5.27 Admin. Regs.15, 17 and 18,		Annual	Governance and Strategy	Governance	Manager Governance				
Mar	<b>Corporate Business Plan - Review (Administrative)</b> Review Corporate Business Plan and prepare options for Council's consideration for inclusion on the Plan. Review should consider - actions, projects and priorities from Informing strategies (Workforce Plan, Asset Mgt Plan, Long Term Financial Plan and other strategies) as well as the prioritising Major Capital Works.	Local Government Act 1995	s.5.56 Admin.Reg.19DA	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual <b>Next Due: March/April 2024</b>	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				
Mar	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Progress payment Certificate and Certificate of Completion with final recoupment claim to be submitted to MRWA for previous financial year	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				
Mar	<b>Water Licences</b> - Artesian and Non-artesian Water Licences - review and renew if necessary	Rights in Water and Irrigation Act 1914	s. 26 (d)		Annual	Infrastructure Services	Parks and Natural Environment	Manager Parks and Natural Environment				
Mar	<b>WALGGC Road Information Return</b> - Submit WALGA Road Assets & Expenditure Certification Sheet				Annual	Infrastructure Services	Asset Management	Manager Asset Management				
Mar	<b>Fines Enforcement - Designated Prosecuting Officers</b> Review Designated Prosecuting Officers and provide written advice to Fines Enforcement Registry of changes.	Fines, Penalties and Infringement Notices Enforcement Act 1994	s.13(2)		Annual	Planning and Community Development	Community Safety	Manager Community Safety				

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	<b>April - Take Action</b>											
Apr	<b>Audit - Compliance Audit Return Action Plan</b> Prepare a Compliance Audit Return Action Plan that assigns responsibility and timeframes for implementing outcomes / actions arising from the Compliance Audit Return. Provide Compliance Audit Return Action Plan to Council via Audit Committee for endorsement.	n/a	n/a	Operational Practice	Annual or as required	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
Apr	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Apr	<b>Annual Budget - Copy of Review to DLGSCI</b> Executive Director within <b>30 days</b> after Budget Review adoption, plus a copy of the Council Report / Minutes relevant to Budget Review adoption.	Local Government Act 1995	FM.Reg.33A(4)	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Apr	<b>Annual Budget - Fees and Charges - Review</b> In preparation for the Annual Budget, undertake an Administrative review of Fees and Charges to inform the fees and charges proposed for including in the Annual Budget. The Review should ensure: • Fees / Charges are set for a proper purpose - s.6.16(2) • The amount of each Fee or Charge has been set in accordance with s.6.17 • Fees and Charges to be imposed by the LG under other written laws are included and separately identified as to if the LG has the power to set the level of the Fee or Charge OR if the level has been set by / under the other written law.	Local Government Act 1995	s.6.18 s.6.17 s.6.18	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Apr	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance				
Apr	<b>Annual Elector's General Meeting - Minutes / Responses to next Ordinary Council Meeting</b> , if not practicable, either the first Ordinary Council Meeting after that meeting OR at a Special Council Meeting called for that purpose. Reasons for any Council decision made in response to an AEGM decision.	Local Government Act 1995	s.5.33		Annual	Governance and Strategy	Governance	Manager Governance				
Apr	<b>Elections - Enrolment Eligibility Claims (Owners and Occupiers) Register</b> - Prepare for Elections - Review register and take action re expired Eligibility Claims (no longer property owner / claim based on occupation or nominee expired)	Local Government Act 1995	s.4.35 Elections Regs.14 and 15 Form 6 and 7	WALGA Template Enrolment Eligibility Claims Register	Biennial Next Due: 2023	Governance and Strategy	Governance	Manager Governance				
Apr	<b>Elections</b> - Create Election Timeline	Local Government Act 1995	Part 4		Biennial Next Due: 2023	Governance and Strategy	Governance	Manager Governance				
Apr	<b>Electoral Gifts</b> - Provide advice to sitting members whose term is due to expire of the commencement of the 'electoral period' and declaration requirements.	Local Government (Electoral) Regulations 1996	r30C		Biennial Next Due: 2023	Governance and Strategy	Governance	Manager Governance				
Apr	<b>Corporate Business Plan - Review (Council Workshop)</b> Schedule a workshop with Council Members and Executive staff to review options and priorities (including the Capital Works Plan) and to finalise the Corporate Business Plan for recommendation to Council.	Local Government Act 1995	s.5.56 Admin.Reg.19DA	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual Next Due: April/May 2024	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				
Apr	<b>Equal Employment Opportunity</b> - Send Equality Index & Representation Summary to the Equal Opportunity Commission	Equal Opportunity Act 1984			Annual	Governance and Strategy	Governance	Manager Human Resource Services				
Apr	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Submit quarterly report to Main Roads WA Program Support Officer - Metropolitan Region	MRWA State Road Funds to Local Government Procedures			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				

Apr	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Progress payment Certificate and Certificate of Completion with final recoupment claim to be submitted to MRWA for previous financial year	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				
Apr	<b>Roads to Recovery</b> - Online submission expenditure report and forecast for the next quarter	Roads to Recovery Act 2000 (Cth)			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				
Apr	<b>Metropolitan Regional Road Group (MRRG) Road Improvement Grant Funding</b> - Submit Road Rehabilitation Grant Submission to Main Roads	MRWA State Road Funds to Local Government Procedures			Annual	Infrastructure Services	Engineering Services	Manager Engineering Services				
Apr	<b>Local Planning Scheme No. 3</b> - Prepare a consolidation of the scheme every five years.	Planning and Development Act 2005	s. 88		5-yearly <b>Next Due: 2023</b>	Planning and Community Development	Planning Services	Manager Planning Services				

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	<b>May - Take Action</b>											
May	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
May	<b>Rates</b> - Notice advising intention to impose differential general rates or a minimum payment applying to a differential rate category	Local Government Act 1995	s. 6.36		Annual	Corporate Services	Financial Services	Manager Financial Services				
May	<b>Annual Budget - Differential Rates and Minimum Payment Setting - Council Report</b> Council Report required recommending Council to endorse the proposed Differential Rates and minimum payments for the purpose of giving Local Public Notice and calling for submissions. This report and Council decision must occur with sufficient time to enable compliance with the Local Public Notice requirements and 21 day public submission period - s.6.36 before Council resolves to impose the differential rates as part of the Annual Budget. • Notice must be published within the period 2 months before the commencement of the financial year	Local Government Act 1995	s.6.33 s.6.35 s.6.36 FM.Reg.52A	DLGSC WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
May	<b>Annual Budget - Differential Rates and Minimum Payment Setting - Local Public Notices</b> After the Council endorsement for advertising proposed Differential Rates and minimum payments, Local Public Notice must be published with sufficient time to comply with: • Notice must be published within the period 2 months before the commencement of the financial year • Notice must contain details of each rate or minimum payment. • Notice must invite public submissions within 21 days (or longer) of the notice • Notice must advise where public can inspect a document describing the object of, and reasons for, each proposed rate and minimum payment.	Local Government Act 1995	s.6.33 s.6.35 s.6.36 FM.Reg.52A	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
May	<b>Geothermal Licence and Operating Strategy</b> In order for the City to hold a geothermal licence an audited GLOS is required to be put in place annually to ensure all environmental considerations are monitored and required to be reviewed every 3 years.	Rights in Water and Irrigation Act 1914	Clause 15 / Schedule 1		Annually commencing May 2023 / 3 years due 2026	Corporate Services	Leisure and Cultural Services	Manger Leisure and Cultural Services				
May	<b>Financial Interests Register - Review</b> Issue and review Primary Returns; Update Register - Add/remove entries; Update disclosures on website.	Local Government Act 1995	s.5.88(3)(4)	WALGA - Governance Subscription - Guideline - Primary and Annual Returns Management DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Bi-monthly	Governance and Strategy	Governance	Manager Governance				
May	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance				
May	<b>Delegation Register Review</b> - Sub-delegations are to be reviewed by the delegator (CEO) at least once every financial year Last Reviewed: 10/05/2022 Next Due: May 2023	Local Government Act 1995	s.5.16, 5.17, 5.18 s.5.42, 5.43, 5.44, 5.45, 5.46 s.7.1B	WALGA website - Decision Making in Practice Toolkit Part 2 Delegations WALGA website - Webinar - Decision Making in Practice - Delegations DLGSC website - Operational Guideline No. 17 Delegations	Annual	Governance and Strategy	Governance	Manager Governance				

May	<b>Local Emergency Management Committee</b> - Hold committee meeting quarterly in accordance with the Act	Emergency Management Act 2005	s. 38		Quarterly	Infrastructure Services	Asset Management	Manager Asset Management				
May	<b>Metropolitan Regional Road Group Funding</b> - Submit Road Improvement Grant Submission to Main Roads				Annual	Infrastructure Services	Engineering Services	Manager Engineering Services				
May	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Progress payment. Certificate and Certificate of Completion with final recoupment claim to be submitted to MRWA for previous financial year	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				

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	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
	<b>June - Take Action</b>											
Jun	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Jun	<b>Emergency Services Levy - Option B Payment Due by: 21 June</b> and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures		DFES -ESL Manual of Operating Procedures	Quarterly	Corporate Services	Financial Services	Manager Financial Services				
Jun	<b>Financial Reporting - Material Variances</b> Each Financial Year, a LG is to adopt a percentage or value, calculated in accordance with AAS, to be used in statements of financial activity for reporting material variances. (adopt and apply in the following Financial Year)	Local Government Act 1995	s.6.4 FM.Reg.34(5)		Annual	Corporate Services	Financial Services	Manager Financial Services				
Jun	<b>Annual Budget - Fees and Charges Schedule</b> In preparation for the Annual Budget, a preliminary Council report may be provided detailing the revised Schedule of Fees and Charges, recommending endorsement for inclusion in the Annual Budget. Council's early consideration enables separate and detailed review, outside of the budget adoption, with any changes proposed then included in the Budget calculations. In any case, the Schedule of Fees and Charges <b>must</b> be included in the Annual Budget and Annual Budget Report, with a separate recommendation for Council to impose the Schedule of Fees and Charges, by absolute majority, as part of the Annual Budget adoption.	Local Government Act 1995	s.6.16 s.6.17 s.6.18	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Jun	<b>Annual Budget - Rate Setting Statement</b> In preparation for the Annual Budget, a preliminary Council report <b>may</b> be provided detailing the Rates Setting Statement. Early Council consideration enables: + consideration of public submissions on Differential Rates - see, s.6.36(4) + separate and detailed review of rating implications, outside of the budget adoption + Any changes proposed are then included in the Budget calculations. In any case, the Rate Setting Statement <b>must</b> be included in the Annual Budget Adoption Report, with a separate recommendation for Council to impose, by absolute majority: + the general rate (uniformly or differentially) + a specified area rate + minimum payment + service charges + impose a discount	Local Government Act 1995	s.6.32 s.6.35 s.6.36(4) s.6.37 s.6.38 s.6.46 FM.Regs. r.22(1)(d) (2) r.26 r.33(1)(c) r.52	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Jun	<b>Annual Budget - Borrowings - Changes or New</b> In preparation for the Annual Budget, the preliminary Council report <b>may</b> be provided, recommending endorsement for inclusion in the Annual Budget. Early Council consideration enables: + detailed review outside of the Budget adoption + any changes proposed are then included in the Budget calculations. In any case, Borrowings <b>must</b> be included in the Annual Budget and Annual Budget report, with a separate recommendation for Council to resolve, to expend the money or utilise the loan.	Local Government Act 1995	s.6.20 s.6.21	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				



Jun	<b>Annual Budget - Setting Elected Member Fees, Payments and Reimbursements</b> Salaries and Allowances Tribunal Determination for Local Government Elected Members (published annual usually in April). Report to Council for decision to set fees, allowances and reimbursements in accordance with the determination.	Local Government Act 1995	Part 5, Div 8 Admin. Regs. Part 8	<b>Salaries and Allowances Tribunal website - Determination for Local Government</b>	Annual	Corporate Services	Financial Services	Manager Financial Services			
Jun	<b>Annual Budget - Reserve Accounts - Changes or New</b> Council decision, by absolute majority, if Annual Budget proposes: • Changes to the purpose of a Reserve Account; OR • Using the money in a Reserve Account for another purpose	Local Government Act 1995	s.6.11	<b>DLGSC website - WA Local Government Accounting Manual</b>	Annual	Corporate Services	Financial Services	Manager Financial Services			
Jun	<b>Annual Budget - Setting Interest Rate for Money Owed</b> Council decision, by absolute majority, to require a person to pay interest rate set in the Annual Budget on any amount of money (other than rates and service charges) owed to the Local Government for a period of time as determined by Council that is not less than <b>5 days</b> . May be by separate report or included in Annual Budget report with separate recommendation.	Local Government Act 1995	s.6.14 FM.Reg.19A and 19B	<b>DLGSC website - WA Local Government Accounting Manual</b>	Annual	Corporate Services	Financial Services	Manager Financial Services			
Jun	<b>Annual Budget - Adoption</b> During period <b>1 June to 31 August</b> , Local Government is to prepare and adopt, by absolute majority, an Annual Budget for the next financial year. Annual budget content to comply with FM.Reg.22.	Local Government Act 1995	s.6.2(1) FM.Reg.22	<b>DLGSC website - WA Local Government Accounting Manual</b>	Annual	Corporate Services	Financial Services	Manager Financial Services			
Jun	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance			
Jun	<b>Elected Members</b> - Review Meeting Attendance Register - check EMs have not been absent for 3 consecutive meetings without Leave of Absence being granted	Local Government Act 1995	s.2.25		Quarterly	Governance and Strategy	Governance	Manager Governance			
Jun	<b>FOI Annual Statistical Data</b> - Response to Information Commissioner <b>Due by: 30 June</b>	Freedom of Information Act 1992	s.111(3)		Annual <b>Due: 30 June</b>	Governance and Strategy	Governance	Manager Governance			
Jun	<b>Delegation Register Review</b> - Delegations are to be reviewed by the delegator (Council) at least once every financial year Last Reviewed: <b>27/06/2022</b> Next Due: <b>28/06/2023</b>	Local Government Act 1995	s.5.16, 5.17, 5.18 s.5.42, 5.43, 5.44, 5.45, 5.46 s.7.1B	<b>WALGA website - Decision Making in Practice Toolkit Part 2 Delegations</b> <b>WALGA website - Webinar - Decision Making in Practice - Delegations</b> <b>DLGSC website - Operational Guideline No.17 Delegations</b>	Annual	Governance and Strategy	Governance	Manager Governance			
Jun	<b>Workforce Plan - Review</b> Update the Workforce Plan to include outcomes of Corporate Business Plan Review and report, with recommendations to Council	Local Government Act 1995	s.5.56 Admin.Reg.19DA	<b>DLGSC website - Integrated Planning and Reporting Framework and Guidelines</b>	Annual	Governance and Strategy	Human Resource Services	Manager Human Resources			
Jun	<b>Strategic Community Plan - Review</b> Review completed after community consultation, and adopted by Council, by absolute majority, at least once every 4 years Last reviewed (CJ093-06/22): <b>28 June 2022</b> Next Due by: <b>30 June 2026</b>	Local Government Act 1995	s.5.56 Admin.Reg.19C	<b>DLGSC website - Integrated Planning and Reporting Framework and Guidelines</b>	4-yearly major review Next Due: <b>2026</b>	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development			

Jun	<b>Strategic Community Plan - Review - Local Public Notice</b> After adoption of the revised Strategic Community Plan, LG is to give Local Public Notice that the Plan has been adopted, the period that the Plan is to apply and details of where and when the Plan may be inspected	Local Government Act 1995	s.5.56 Admin.Reg.19D	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	4-yearly Next Due: 2026	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				
Jun	<b>Strategic Community Plan Review - Website</b> Publish the revised Strategic Community Plan on the LG's website	Local Government Act 1995	s.5.94(f)	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	4-yearly Next Due: 2026	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				
Jun	<b>Corporate Business Plan - Review (Council Adoption) Due by: 30 June</b> Council to adopt by absolute majority. Amended Corporate Business Plan informs the preparation of the budget.	Local Government Act 1995	s.5.56 Admin.Reg.19DA	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				
Jun	<b>Appoint Bush Fire Control Officers - Review</b> appointments and update if necessary	Bush Fires Act 1954	s.38		Annual	Infrastructure Services	Community Safety	Manager Community Safety				
Jun	<b>Revaluation of Assets - Land, Buildings and Infrastructure</b> LG must revalue all assets within the Land Building and Infrastructure Class by the expiry of each 5-yearly interval after 30 June 2017	Local Government Act 1995	FM.Reg.17A(4)		3-yearly Next Due: 30 June 2023	Infrastructure Services	Asset Management	Manager Asset Management				
Jun	<b>Local Emergency Management</b> - Full review of local emergency management arrangements for the City to be conducted every five years	Emergency Management Act 2005	s.42		5-yearly Next Due: 2023	Infrastructure Services	Asset Management	Manager Asset Management				
Jun	<b>ABS</b> - Submit quarterly road construction report to Australian Bureau of Statistics				Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				
Jun	<b>MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants</b> - Progress payment Certificate and Certificate of Completion with final recoupment claim to be submitted to MRWA for previous financial year	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				
Jun	<b>Public Thoroughfares</b> - Confirm plans of the levels and alignments of public thoroughfares are kept	Local Government Act 1995	s.3.52(4)		Annual	Infrastructure Services	Engineering Services	Manager Engineering Services				
Jun	<b>Subdivisions</b> - Notify WAPC of applications determined for the issuing of a certificate of approval under section 25 of the Strata Titles Act 1985	Planning and Development Act 2005 (Delegation Notice DEL 2020/01)	s.16		Annually	Planning and Community Development	Planning Services	Manager Planning Services				

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