

# minutes

## Audit and Risk Committee

MEETING HELD ON

MONDAY 11 MARCH 2024

### **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*

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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.*

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## CITY OF JOONDALUP

### MINUTES OF THE AUDIT AND RISK COMMITTEE MEETING HELD IN CONFERENCE ROOM 1, JOONDALUP CIVIC CENTRE, BOAS AVENUE, JOONDALUP ON MONDAY 11 MARCH 2024.

#### ATTENDANCE

##### Committee Members:

Cr John Raftis	<i>Presiding Member</i>	
Mayor Hon. Albert Jacob, JP		<i>to 7.55pm</i>
Cr Rebecca Pizzey		
Cr Lewis Hutton		
Cr Daniel Kingston		<i>from 6.07pm</i>
Cr Rohan O'Neill	<i>Deputy Presiding Member</i>	<i>absent from 7.27pm to 7.28pm</i>

##### Observers:

Nil.

##### Officers:

Mr James Pearson	Chief Executive Officer	
Mr Jamie Parry	Director Governance and Strategy	<i>to 8.42pm</i>
Mr Nico Claassen	Director Infrastructure Services	<i>to 8.42pm</i>
Mr Mat Humfrey	Director Corporate Services to	<i>to 8.42pm</i>
Mr Chris Leigh	Director Planning and Community Development	
Ms Christine Robinson	Manager, Audit Risk and Executive Services	
Mr Peter McGuckin	Internal Auditor	
Ms Samer Al Janabi	General Counsel, Audit, Risk and Executive Services	
Mrs Kylie Bergmann	Manager Governance	<i>to 8.42pm</i>
Ms Avril Schadendorf	Governance Officer	<i>to 8.42pm</i>

## 1 DECLARATION OF OPENING

The Presiding Member declared the meeting open at 6.03pm.



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

Nil.

## **3 APOLOGIES AND LEAVE OF ABSENCE**

### **3.1 LEAVE OF ABSENCE PREVIOUSLY APPROVED**

Cr Russ Fishwick, JP	11 to 15 March 2024 inclusive.
Cr Daniel Kingston	12 to 14 March 2024 inclusive.
Cr Nige Jones	12 to 19 March 2024 inclusive.
Cr Christine Hamilton-Prime, JP	10 to 26 March 2024 inclusive.
Mayor Albert Jacob, JP	25 to 28 March 2024 inclusive.
Cr Russ Fishwick, JP	25 March to 1 April 2024 inclusive.
Cr Phillip Vinciullo	3 to 13 April 2024 inclusive.
Cr Adrian Hill	28 June to 15 July 2024 inclusive.

### **3.2 APOLOGIES**

Mr Mark Hall.

## **4 CONFIRMATION OF MINUTES**

### **4.1 MINUTES OF THE AUDIT AND RISK COMMITTEE HELD ON 13 NOVEMBER 2023 AND THE SPECIAL AUDIT AND RISK COMMITTEE HELD ON 30 JANUARY 2024**

**OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Pizzey 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 13 November 2023, subject to the following amendment:**

**That the Committee resolution for Item 8.8 – Confidential – Chief Executive Officer's Credit Card Expenditure (July - September 2023), be amended to read as follows (including the Amendment moved by Cr Kingston):**

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***“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 card usage of the Chief Executive Officer is now reported monthly to Council;***
  - 3     *AGREES IN PRINCIPLE that a quarterly report for the Audit and Risk Committee on corporate credit card use of the Chief Executive Officer is no longer required to be prepared.”;***
- 2     Special Audit and Risk Committee meeting held on 30 January 2024.**

**The Motion was Put and**

**CARRIED (5/0)**

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

**Against the Motion:** Nil.

**5     ANNOUNCEMENTS BY PRESIDING MEMBER WITHOUT DISCUSSION**

Nil.

**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.

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## 8 REPORTS

### 8.1 SETTING OF 2024 MEETING DATES - AUDIT AND RISK COMMITTEE (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr Jamie Parry Director Governance and Strategy
<b>FILE NUMBER</b>	02153, 103963, 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 the Audit and Risk Committee to consider the setting of committee meeting dates for 2024.

#### EXECUTIVE SUMMARY

In order to assist with forward planning for all Elected Members, management and staff, a schedule of meeting dates has been prepared for the Audit and Risk Committee, ensuring synergy between meeting dates and the flow of information and decision-making.

*It is therefore recommended that the Audit and Risk Committee ADOPTS the following meeting dates and times for the Audit and Risk Committee of the City of Joondalup to be held at the Joondalup Civic Centre (Conference Room 1), Boas Avenue, Joondalup:*

- 1 *Monday 20 May 2024, commencing at 6.00pm;*
- 2 *Monday 5 August 2024, commencing at 6.00pm;*
- 3 *Monday 28 October 2024, commencing at 6.00pm.*

#### BACKGROUND

The Audit and Risk Committee was established at the Special Council Meeting held on 6 November 2023 (CJ213-11/23 refers) and the Audit and Risk Committee's Terms of Reference were adopted at that time as follows:

- 1 guide and assist the City in carrying out its functions:
  - 1.1 under Part 6 - Financial Management, of the *Local Government Act 1995*;
  - 1.2 in relation to audits conducted under Part 7 - Audit, of the *Local Government Act 1995*;
  - 1.3 relating to other audits and other matters related to financial management;

- 
- 2 review the Chief Executive Officer'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 Chief Executive Officer under regulation 17 of the *Local Government (Audit) Regulations 1996* and:
    - 2.1 report to the Council the results of that review;
    - 2.2 give the Council a copy of the Chief Executive Officer's report;
  - 3 review the Chief Executive Officer'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:
    - 3.1 report to the Council the results of that review;
    - 3.2 give the Council a copy of the Chief Executive Officer's report;
  - 4 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*;
  - 5 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;
  - 6 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);
  - 7 assessing the adequacy of the annual internal audit plan and the three year internal audit plan;
  - 8 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;
  - 9 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.

## DETAILS

The Audit and Risk Committee is a committee required to be established in accordance with the *Local Government Act 1995* and associated regulations. It is responsible for matters associated with all aspects of financial auditing, legislative compliance, risk management and reviewing the efficiency of the City's use of resources.

Meetings of this committee are usually associated with statutory reporting requirements, including endorsement of the Annual Compliance Audit Return, appointment of the City's Auditor, and adoption of the Audited Financial Statements and Annual Report.

The Compliance Audit Return is required to be endorsed by Council and submitted to the Department of Local Government, Sport and Cultural Industries before 31 March annually.

Consideration of the City's financial audit often occurs in August/September, with the audited financial statements proposed to be finalised by the Office of the Auditor General (OAG) by December, enabling review and adoption of the financial statements by the committee and Council usually by the end of December. However, in recent years the presentation of the audited financial statements to Council has been delayed.

It has been previously requested that committee meetings not be held on the same week as Briefing Sessions and Council meetings (where possible). This request has been incorporated into the Committee schedule where possible.

*It is therefore suggested that the Audit and Risk Committee meets in 2024 as follows:*

- *Monday 20 May 2024, commencing at 6.00pm*
- *Monday 5 August 2024, commencing at 6.00pm*
- *Monday 28 October 2024, commencing at 6.00pm.*

### **Issues and options considered**

The Audit and Risk Committee can either:

- adopt the meeting dates as proposed in this Report  
or
- amend the meeting dates.

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

**Legislation**                      *City of Joondalup Meeting Procedures Local Law 2013.*  
    *Local Government (Administration) Regulations 1996.*  
    *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**

Should forward planning of committee meetings not be identified, then there is a risk for meetings to be held on an ad-hoc basis, lacking coordination with other key meetings and corporate planning processes.

### **Financial / budget implications**

Not applicable.

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**Regional significance**

Not applicable.

**Sustainability implications**

Not applicable.

**Consultation**

Not applicable.

**COMMENT**

The proposed dates have been prepared based on the statutory reporting outcomes required of the Audit and Risk Committee, the broader monthly meeting cycle of Council, as well as being cognizant of proposed meeting dates for a variety of other committees and civic events.

**VOTING REQUIREMENTS**

Simple Majority.

*Cr Kingston entered the Room at 6.07pm.*

**OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Hutton that the Audit and Risk Committee ADOPTS the following meeting dates and times for the Audit and Risk Committee of the City of Joondalup to be held at the Joondalup Civic Centre (Conference Room 1), Boas Avenue, Joondalup:**

- 1 Monday 20 May 2024, commencing at 6.00pm;**
- 2 Monday 5 August 2024, commencing at 6.00pm;**
- 3 Monday 28 October 2024, commencing at 6.00pm.**

**The Motion was Put and**

**CARRIED (6/0)**

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

**ATTACHMENTS**

Nil

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## 8.2 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 its 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."*

At the Audit and Risk Committee meeting held on 13 November 2023, the Committee resolved 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."*

This report is presented to the Audit and Risk Committee in accordance with the Committee's decision of 13 November 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.



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**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.

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**OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Kingston that the Audit and Risk Committee NOTES the Annual Corporate Compliance Calendar as provided in Attachment 1 to this Report.**

**The Motion was Put and**

**CARRIED (6/0)**

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

**Against the Motion:** Nil.

## **ATTACHMENTS**

1. 2024 Corporate Compliance Calendar [8.2.1 - 24 pages]

### 8.3 ELECTED MEMBER DINNER REPORT QUARTER 2 (OCTOBER - DECEMBER 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 no Elected Member Dinners were held between October and December 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.

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**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.*

No Elected Member Dinners were held in Quarter 2 between October and December 2023 due to the minimum quota of three Councillors required to host a table per Elected Member Dinner, being met.

**VOTING REQUIREMENTS**

Simple Majority.

**OFFICER'S RECOMMENDATION MOVED Mayor Jacob, SECONDED Cr Hutton that the Audit and Risk Committee NOTES no Elected Member Dinners were held in Quarter 2 between October and December 2023.**

**The Motion was Put and**

**CARRIED (6/0)**

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

**Against the Motion:** Nil.

**ATTACHMENTS**

Nil

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## 8.4 HALF YEARLY REPORT: WRITE-OFF OF MONIES - 1 JULY 2023 - 31 DECEMBER 2023 (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr. Mat Humfrey Director Corporate Services
<b>FILE NUMBER</b>	07032, 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 amounts of monies written off under delegated authority.

### EXECUTIVE SUMMARY

The total amount written off under delegated authority during the six months ended 31 December 2023 was \$10,524. This amount consisted of 9,825 small unpaid rate amounts and three unpaid debtor items totaling \$1,495 that were above the reportable limit.

*It is therefore recommended that the Audit and Risk Committee RECEIVES the report of amounts written off under delegated authority for the period 1 July 2023 to 31 December 2023.*

### BACKGROUND

Section 6.12(1)(c) of the *Local Government Act 1995* gives Council the power to write off any amount of money owing to the City.

At its meeting held on 6 June 2006 (CJ079-06/06 refers), Council approved to delegate to the Chief Executive Officer the authority to write off monies owed to the City, subject to a report being provided to the Audit and Risk Committee on a six-monthly basis on the exercise of this delegation for amounts between \$100 and \$20,000. The Chief Executive Officer under section 5.44 has delegated his authority to nominated employees, up to the limits provided in the instrument of delegation.

### DETAILS

During the six months ended 31 December 2023 a total amount of \$10,524 was written off as unrecoverable. This amount includes the following:

- 9,825 unpaid rates balances below the reportable limit totaling \$9,028.58, representing in the main rounding decimals or other minor miscellaneous charges for which the cost of collection was, for all practical purposes, uneconomical.
- Three reportable debtor items totaling \$1,495, as shown in Attachment 1, which had been lodged with a debt collection service with debt recovery being unsuccessful and, due to the age of the debt and limited prospects of success, not considered suitable for continued action. The debtor in question was also delinquent in respect of charges raised by state government agencies. The City delayed write-off to join a coordinated court action by state government agencies to attempt recovery of the various amounts owed; however, the legal process timeline is uncertain, and it was decided to proceed with write-off in the City's books.

### Issues and options considered

Not Applicable.

### Legislation / Strategic Community Plan / Policy implications

**Legislation**                      Section 6.12(1)(c) of the *Local Government Act 1995*.  
    Section 5.42 of the *Local Government Act 1995*.  
    Section 5.44 of the *Local Government Act 1995*.

### 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 amounts written off are either unrecoverable or uneconomical to recover, none of which represent a material financial risk to the City.

### Financial / budget implications

<b>Account No</b>	3256
<b>Budget Item</b>	Bad Debts Written off
<b>Annual Budget</b>	\$ 13,500
<b>Year to Date Budget</b>	\$ 9,069
<b>Year to Date Actual</b>	\$ 10,524
<b>Year to Date Variance</b>	\$ (1,455)

All amounts quoted in this report are exclusive of GST.

### Regional significance

Not applicable.

### Sustainability implications

Not applicable.

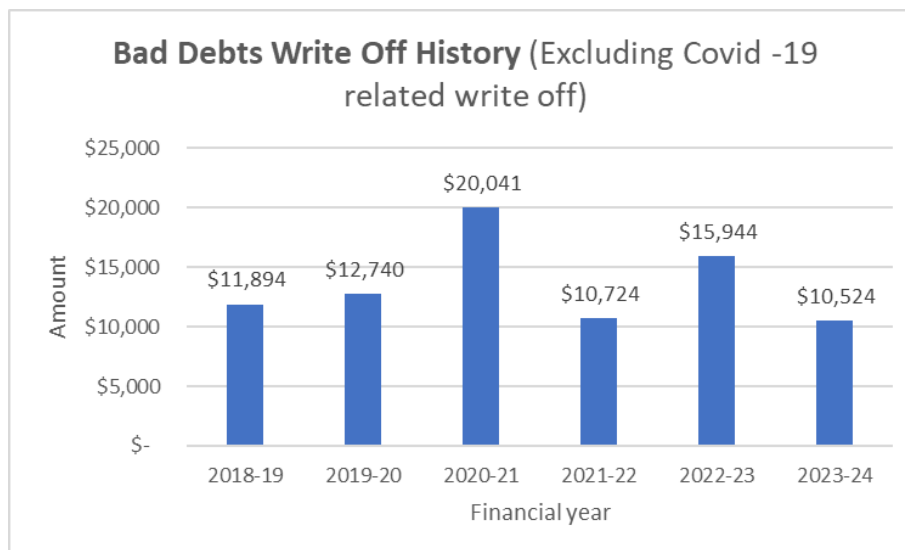
### Consultation

Not applicable.

### COMMENT

Monies written off under delegation comprised 9,825 small items of unpaid rates totaling \$9,028.58 as described in the report, as well as three reportable unpaid debtor items totaling \$1,459 that were written off as either uneconomical to continue debt recovery action or due to unsuccessful debt recovery action.

History of bad debts written off over the past five financial years is below:



### VOTING REQUIREMENTS

Simple Majority.

**OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Raftis that the Audit and Risk Committee RECEIVES the report of monies written off under delegated authority for the period 1 July 2023 to 31 December 2023.**

**The Motion was Put and**

**CARRIED (6/0)**

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

**Against the Motion:** Nil.

### ATTACHMENTS

1. CONFIDENTIAL REDACTED - Debtors write-offs [8.4.1 - 1 page]



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## **8.5 AUDIT COMMITTEE REQUEST FOR REPORT - SOFTWARE PURCHASED OVER THE LAST 12 MONTHS (WARD - ALL)**

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr Mat Humfrey Director Corporate Services
<b>FILE NUMBER</b>	05768, 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 Committee to receive a report on software purchased over the past 12 months.

### **EXECUTIVE SUMMARY**

This report lists all software licenses, subscriptions, and software support and maintenance purchased in the 12-month period of 1 July 2022 to 30 June 2023. For each item it lists the cost, the primary users within the City, the purpose/benefits it provides, and the contractual basis of the payment. In most cases the form of contract is a standard purchase order.

### **BACKGROUND**

A report was requested at the August 2023 meeting of the Audit and Risk Committee. The requested report was to detail software purchased in the previous 12 months, which business unit uses the software, the benefits obtained from the software and any committed contracts.

### **DETAILS**

The following list details computer software purchased in FY2022-23 as this is a conveniently distinct 12-month window. It includes software license purchases, software subscriptions (which is the most common contemporary arrangement), and support and maintenance payments for previously purchased software. It does not include the cost of any associated implementation services. It also does not include incidental services using 'software' such as ABS statistical services or Facebook advertising that are costed to the software accounts in the cost ledger.

### **Issues and options considered**

In general, where a Business Unit or team has been named then the cost of the software is from that Business Unit or team's budget, however, most of the expense is borne by the Information Technology budget. This is because most of the software listed is common across the entire organisation, so it is centrally supported and funded.

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

**Legislation** Not applicable.

**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**

Not applicable.

**Regional significance**

Not applicable.

**Sustainability implications**

Not applicable.

**Consultation**

Not applicable.

**COMMENT**

In respect to quantifying the benefit derived from individual pieces of software, almost all the software listed has been acquired as tools to perform a particular function or provide a specific function or service. If a business case were formally documented, it is at the level of the service or business function that the software is intended to support. Often this is a core common business function, such as a payroll system, or the ubiquitous Microsoft Office suite. In themselves the individual piece of software does not provide a measurable benefit but is an enabler of a service or function that may. In general, expenditure on software is a cost of doing business, like other utilities.

**VOTING REQUIREMENTS**

Simple Majority.

**OFFICER'S RECOMMENDATION**

That the Audit and Risk Committee NOTES the report on software purchases.

---

**ALTERNATE RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Kingston that the Audit and Risk Committee:**

- 1 NOTES the report on software purchases;**
- 2 REQUESTS that the Chief Executive Officer provide the Audit and Risk Committee with an annual report on software purchases.**

**The Alternate was Put and**

**CARRIED (6/0)**

**In favour of the Alternate Motion:** Cr Raftis, Mayor Jacob, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.  
**Against the Alternate Motion:** Nil.

## **ATTACHMENTS**

1. Software Purchased Financial Year 2022-23 [**8.5.1** - 6 pages]

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## 8.6 CONTRACT EXTENSIONS - 1 JULY 2023 TO 31 DECEMBER 2023 (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr Mat Humfrey Director Corporate Services
<b>FILE NUMBER</b>	07032, 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 details of contracts extended by the Chief Executive Officer between 1 July 2023 to 31 December 2023.

### EXECUTIVE SUMMARY

The schedule of contracts extended by the Chief Executive Officer during the period 1 July 2023 to 31 December 2023 is provided in Attachment 1.

*It is therefore recommended that the Audit and Risk Committee NOTES the contracts extended by the Chief Executive Officer during the period 1 July 2023 to 31 December 2023, forming Attachment 1 to this Report.*

### BACKGROUND

At its meeting held on 1 November 2005 (CJ231-11/05 refers), Council resolved that a half-yearly report be prepared for the Audit Committee detailing contracts that were originally approved by Council and have subsequently been extended by the Chief Executive Officer.

### DETAILS

Council has delegated to the Chief Executive Officer the authority to approve all contract extensions on tenders approved by Council subject to a report to the Audit Committee being prepared on a half-yearly basis providing details of those contracts extended.

Four contracts were extended during the period 1 July 2023 to 31 December 2023.

### Issues and options considered

The option to extend the contracts by the Chief Executive Officer is required to maintain continuity of the applicable services to the City.

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

**Legislation** The City's legal advice is that under section 5.41(d) of the *Local Government Act 1995* the Chief Executive Officer may be delegated the power to extend a contract – provided the Chief Executive Officer does not extend the contract beyond the “total term of the Contract” specified by the Council in the resolution.

**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.  
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 delegated authority to extend Contracts is limited to the original terms and conditions approved by resolution of Council when the tender was first awarded.

**Financial / budget implications**

In accordance with each individual Contract and approved budget limits.

**Regional significance**

Not applicable.

**Sustainability implications**

Not applicable.

**Consultation**

Not applicable.

**COMMENT**

This report provides the Audit Committee with details of contracts originally approved by Council or by the Chief Executive Officer under delegated authority, which have subsequently been extended by the Chief Executive Officer during the period from 1 July 2023 to 31 December 2023.

**VOTING REQUIREMENTS**

Simple Majority.

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**OFFICER'S RECOMMENDATION MOVED Cr Raftis, SECONDED Cr Hutton that the Audit and Risk Committee NOTES the contracts extended by the Chief Executive Officer during the period 1 July 2023 to 31 December 2023, forming Attachment 1 to this Report.**

**The Motion was Put and**

**CARRIED (6/0)**

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

**Against the Motion:** Nil.

## **ATTACHMENTS**

1. Contract Extensions Half Year Report - 1 July 2023 to 31 December 2023 [8.6.1 - 1 page]

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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
<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) 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 was provided to elected members under separate cover. The report is not for publication.

**OFFICER'S RECOMMENDATION MOVED Cr Hutton, SECONDED Cr Raftis that the Audit and Risk Committee NOTES the copies of corporate credit card statements for October 2023 to December 2023.**

**The Motion was Put and**

**CARRIED (6/0)**

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

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## 8.8 2023 COMPLIANCE AUDIT RETURN (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	32481, 09492, 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.

---

### PURPOSE

For Council to adopt the City's 2023 Compliance Audit Return (the Return) prior to it being submitted to the Department of Local Government, Sport and Cultural Industries (the Department).

### EXECUTIVE SUMMARY

The Compliance Audit Return for the period 1 January 2023 to 31 December 2023 has been completed and is required to be adopted by Council before being submitted to the Department by 31 March 2023.

*It is therefore recommended that Council:*

- 1 ADOPTS the completed 2023 Local Government Compliance Audit Return for the period 1 January 2023 to 31 December 2023 forming Attachment 1 to this Report;*
- 2 in accordance with Regulation 15 of the Local Government (Audit) Regulations 1996, SUBMITS the completed Compliance Audit Return as detailed in Part 1 above, to the Department of Local Government, Sport and Cultural Industries.*

The Return identified two areas of non-compliance for 2023.

### BACKGROUND

Regulation 14 of the *Local Government (Audit) Regulations 1996* requires a local government to carry out a compliance audit for the period 1 January to 31 December in each year.

After carrying out a compliance audit the local government is to prepare a compliance audit return in a form approved by the Minister. The Audit and Risk Committee is to review the Return before it is presented to Council for adoption.

Regulation 15 requires the Return to be certified by the Mayor and the Chief Executive Officer before being submitted to the Department, along with the relevant section of the minutes, by 31 March next following the period to which the Return relates.



The 2023 Return was made available to local government authorities by the Department via its centralised portal for completion online. The 2023 Return is similar to previous years and focuses on high risk areas of compliance and statutory reporting as prescribed in Regulation 13 of the *Local Government (Audit) Regulations 1996*.

## DETAILS

The 2023 Return contains the following compliance categories:

- Commercial Enterprises by Local Governments.
- Delegation of Power / Duty.
- Disclosure of Interest.
- Disposal of Property.
- Elections.
- Finance.
- Integrated Planning and Reporting.
- Local Government Employees.
- Official Conduct.
- Optional Questions.
- Tenders for Providing Goods and Services.

The relevant Managers were required to complete the responses to the Return's questions which were approved by their Director before being forwarded to the Internal Auditor for review and input via the online portal on the Department website. The Return was also presented to the Executive Leadership Team for review and comment. The Return has been completed and is now required to be adopted by Council before being finalised and submitted to the Department by 31 March 2023.

The 2023 Return reveals a high level of compliance with legislation by the City; however there were two areas of non-compliance as follows:

- Delegation of power/duty – Question 12

*Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2022/2023 financial year?*

Council reviewed its delegations within the financial year at its meeting held on 27 June 2023 (CJ096-06/23 refers).

The Chief Executive Officer reviewed his delegations on 29 August 2023. The reason being, there was a major review undertaken of delegations, and there were significant changes; the Chief Executive Officer conducted a review after the Council had adopted its changes.

- Disclosure of interest – Question 5

*Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2023?*

Four employees failed to lodge an annual return by 31 August 2023. Three employees were on leave during the period 1 July to 31 August 2023 and subsequently lodged late returns; and one was an administrative oversight due to the position being split between two employees.

The City has 150 relevant persons as part of its annual return process; to mitigate similar occurrences of late returns being lodged, Managers will be advised prior to 1 July each year of the requirement for returns to be lodged to ensure employees taking leave during the submission period submit the returns prior to their leave.

As required by section 28 of the *Corruption, Crime and Misconduct Act 2003*, the Chief Executive Officer made a notification of serious misconduct to the Corruption and Crime Commission. The Commission assessed the information provided and formed a suspicion of serious misconduct; however pursuant to section 33(1)(d) of the Act, decided to take no action. This is an option available to the Commission and is a decision that was made with consideration to section 18(3) of the Act.

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

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

### **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 risk associated with Council failing to adopt the 2023 Return would result in the Return not being submitted to the Department by 31 March 2024 and be non-compliant with the legislative requirements of the *Local Government (Audit) Regulations 1996*.

### **Financial / budget implications**

Completing the annual compliance audit is carried out using existing budgeted resources.

### **Regional significance**

Ensuring compliance with legislative requirements and submitting responses to the Department provides oversight which enhances the City's capability to deliver services to the district, and beyond, as relevant.

### **Sustainability implications**

The financial, environmental and social sustainability of the City's operations depends on complying with legislation and ensuring effective procedures are implemented for this to occur. Being accountable and transparent is part of the goals of the City's *Strategic Community Plan*.

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## Consultation

Internal consultation with relevant Managers, and the Executive Leadership Team occurs for each annual compliance audit.

## COMMENT

The City's responses for Compliance Audit Returns from 2019 to 2023 is attached for comparison (Attachment 2 refers).

## VOTING REQUIREMENTS

Simple Majority.

## OFFICER'S RECOMMENDATION

That Council:

- 1 ADOPTS the completed 2023 Local Government Compliance Audit Return for the period 1 January 2023 to 31 December 2023 forming Attachment 1 to this Report;
- 2 in accordance with Regulation 15 of the *Local Government (Audit) Regulations 1996*, SUBMITS the completed Compliance Audit Return as detailed in Part 1 above, to the Department of Local Government, Sport and Cultural Industries.

**ALTERNATE RECOMMENDATION MOVED Cr Raftis, SECONDED Cr O'Neill that Council:**

- 1 ADOPTS the completed 2023 Local Government Compliance Audit Return for the period 1 January 2023 to 31 December 2023 forming Attachment 1 to this Report;**
- 2 REQUESTS the Chief Executive Officer, in accordance with Regulation 15 of the *Local Government (Audit) Regulations 1996*, to SUBMIT the completed Compliance Audit Return as detailed in Part 1 above, to the Department of Local Government, Sport and Cultural Industries.**

**The Alternate was Put and**

**CARRIED (6/0)**

**In favour of the Alternate Motion:** Cr Raftis, Mayor Jacob, Cr Hutton, Cr Kingston, Cr O'Neill and Cr Pizzey.  
**Against the Alternate Motion:** Nil.

## ATTACHMENTS

1. 2023 Compliance Audit Return [8.8.1 - 24 pages]
2. 2019 to 2023 Compliance Audit Return [8.8.2 - 17 pages]

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## 8.9 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.

---

### 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) was re-designed in line with improvements made during the strategic risk register's development.

The revised Framework has been reviewed against templates and resources available from LGIS (WA local government mutual indemnity scheme), the Office of the Auditor General's *Fraud Risk Management – Better Practice Guide* and other publicly available frameworks. Further development has arisen from the strategic risk process allowing customisation and integration into related City processes.

The significant changes to the revised Framework are as follows:

- More relevant risk terms and definitions.
- Addition of Governance section – which includes three lines of defence.
- Additional benefits of good risk management.
- Updated roles and responsibilities for the Audit and Risk Committee (as per terms of reference).
- Additional risk reporting requirements.
- Improved description of risk management procedures and processes.

The changes to the City's *Risk Matrix* are as follows:

- Reduction in the number of, and more relevant wording for likelihood descriptors from five to three – improbable (was rare and unlikely); possible (was possible and likely); and probable (was almost certain).
- Reduction in the number of, and more relevant wording for consequence descriptors from five to four – acceptable (was insignificant and minor); tolerable (was moderate); undesirable (was major); and intolerable (was catastrophic).
- Introduction of criteria and guidance for individual control effectiveness.
- New overall control effectiveness rating of 'developing'.
- Introduction of percentage rating for controls that operate as intended to determine overall effectiveness rating.
- Introduction of a residual risk rating that demonstrates a reduction in risk levels based on control effectiveness.

## Issues and options considered

Council may choose to:

- endorse the revised Risk Management Framework as presented
- endorse the revised Risk Management Framework with further amendments or
- not endorse the revised Risk Management Framework.

### Legislation / Strategic Community Plan / Policy implications

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

## 10-Year Strategic Community Plan

**Key theme** 5. Leadership.

<b>Outcome</b>	5-1 Capable and effective - you have an informed and capable Council backed by a highly-skilled workforce.
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**Policy** *Risk Management Council Policy.*

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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 relevant.

**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.

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*Cr O'Neill left the Room at 7.27pm and returned at 7.28pm.*

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

**The Motion was Put and**

**CARRIED (5/1)**

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

**Against the Motion:** Cr Kingston.

## **ATTACHMENTS**

1. Revised Framework [**8.9.1** - 24 pages]
2. Current Framework [**8.9.2** - 20 pages]

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## 8.10 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.

---

### PURPOSE

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

### EXECUTIVE SUMMARY

The Chief Executive Officer (CEO) 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 *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 with the Chief Executive Officer, Directors and Business Unit 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 CEOs 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.

Attachment 2 summarises control effectiveness and its impact on inherent strategic risks, to assist in the consideration of the draft strategic risk register. It shows the inherent risk, which is the risk level without considering controls and is determined by using the values for consequence and likelihood, as well as the residual risk, which is a review of the original inherent risk rating against the proportion of controls that are fully effective.

Attachment 3 shows the strategic risk level reduction following evaluation of the overall control effectiveness.

Attachments 2 and 3 are confidential as they identify potential vulnerabilities.

#### 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.

**Policy**

*Risk Management Policy.*

**Risk management considerations**

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

This provides 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.*

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.

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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.

## 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 7.55pm.*

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

**The Motion was Put and**

**CARRIED (3/2)**

**In favour of the Motion:** Cr Raftis, Cr Hutton and Cr Pizzey.

**Against the Motion:** Cr Kingston and Cr O'Neill.

## ATTACHMENTS

1. Strategic Risk Register [8.10.1 - 1 page]
2. CONFIDENTIAL REDACTED - Analysis Control Effectiveness [8.10.2 - 2 pages]
3. CONFIDENTIAL REDACTED - Analysis Risk Level Reduction [8.10.3 - 1 page]

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## 8.11 CONFIDENTIAL - OPERATIONAL RISK REGISTERS (WARD – ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	10011
<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) of the *Local Government Act 1995*, which permits the meeting to be closed to the public for business relating to the following:

- (f) *a matter that if disclosed, could be reasonably expected to:*
  - (ii) *endanger the security of the local government's property.*

A full report was provided to elected members under separate cover. The report is not for publication.

**OFFICER'S RECOMMENDATION MOVED Cr Hutton, SECONDED Cr Pizzey** that the Audit and Risk Committee NOTES the City's 18 operational risk registers, forming Attachment 1 to this Report, with the understanding that they will be further updated subject to Council endorsement of the revised Risk Management Framework.

**The Motion was Put and**

**LOST (2/3)**

**In favour of the Motion:** Cr Hutton and Cr Pizzey.

**Against the Motion:** Cr Raftis, Cr Kingston and Cr O'Neill.

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## 8.12 CONFIDENTIAL - OFFICE OF THE AUDITOR GENERAL REPORTS - CYBER SECURITY (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	106169
<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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This report is confidential in accordance with section 5.23(2) of the *Local Government Act 1995*, which permits the meeting to be closed to the public for business relating to the following:

- (f) *a matter that if disclosed, could be reasonably expected to:*
  - (ii) *endanger the security of the local government's property.*

A full report was provided to elected members under separate cover. The report is not for publication.

**OFFICER'S RECOMMENDATION MOVED** Cr Kingston, **SECONDED** Cr O'Neill that the Audit and Risk Committee **NOTES** the status update on the review of the Office of the Auditor General's report titled *Cyber Security in Local Government and Implementation of the Essential Eight Cyber Security Controls*.

**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.

### 8.13 OFFICE OF THE AUDITOR GENERAL PERFORMANCE AUDIT – MANAGEMENT OF STAFF EXIT CONTROLS IN LOCAL GOVERNMENT ENTITIES (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	106169, 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 City's inclusion in the Office of the Auditor General performance audit into the management of staff exit controls in local government entities.

#### EXECUTIVE SUMMARY

On 19 February 2024, the City was advised that it had been selected for inclusion in a performance audit on staff exit controls in local government entities; with the finding of the audit to be tabled in a report to Parliament.

The objective of the audit is to assess if large local government entities effectively and efficiently manage the exit of staff to minimise security, asset and financial risks. The key questions are as follows:

- Do large local government entities have appropriate policies and procedures to effectively manage staff exits?
- Do large local government entities comply with staff exit policies and procedures?

*It is therefore recommended that the Audit and Risk Committee NOTES:*

- 1 *the City's inclusion in the Office of the Auditor General performance audit into the management of staff exit controls in local government entities;*
- 2 *that the report to be tabled in Parliament will be presented to the Audit and Risk Committee.*

#### BACKGROUND

In October 2017, the *Local Government Amendment (Auditing) Act 2017* (the Act) was proclaimed, giving the Auditor General the mandate to audit Western Australian local governments and regional councils.

The Act allows the Auditor General to conduct performance audits, which assess the efficiency and effectiveness of public sector activities, services and programs. They can focus on compliance with legislation, policies and accepted good practice. These audits highlight issues surrounding regulatory, financial and administrative processes and can also highlight best practice approaches for all entities to consider implementing.

## DETAILS

The Office of the Auditor General has advised that *“Local Government entities need to ensure when a staff member leaves that premises and information are protected, and all public assets recovered. Ineffective controls increase the risk of security breaches and the loss of information, physical assets and public money. Without effective staff exit controls, entities are at risk of financial and information loss which could be used inappropriately to financially exploit local government and ratepayers. Unauthorised access to sensitive personal information can cause significant reputational damage and community distrust in a local government entity”*.

Paxon Business and Financial Services Pty Ltd have been engaged by the Office of the Auditor General to conduct the performance audit.

Further details about the performance audit, and the approach to performance audits are outlined in Attachment 1 and Attachment 2.

## Issues and options considered

This is the third performance audit for the City since 2019; and provides an opportunity to be assessed by a third party, to demonstrate good practice, or to strengthen any weaknesses identified.

The first two performance audits related to:

- local government building approvals (tabled in Parliament in June 2019)
- regulation of air-handling and water systems (tabled in Parliament in April 2023).

## Legislation / Strategic Community Plan / Policy implications

**Legislation**                      *Auditor General Act 2006.*  
*Local Government Amendment (Auditing) Act 2017.*

## 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

Involvement in performance audits undertaken by the Office of the Auditor General allows for City systems and processes to be assessed by third parties – to identify potential risks and implement recommendations as appropriate.

Positive findings of such audits 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*.

### **Financial / budget implications**

Involvement in, and implementation of relevant recommendations from, the performance audit is carried out using existing budgeted resources.

### **Regional significance**

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

### **Sustainability implications**

The financial sustainability of the City's operations depends on effective controls, with the aim to decrease the risks of significant reputational damage and/or financial losses being incurred through error or fraudulent activity. Being responsible and financially sustainable is part of the goals of the City's Strategic Community Plan.

### **Consultation**

Internal consultation with relevant officers will occur for this performance audit.

### **COMMENT**

As a large local government providing a wide variety of services to the community, appropriate systems of control are required to be developed and implemented to ensure that objectives are achieved. Vigilance should be constant, and systems of control should be subject to regular review and updated as appropriate.

### **VOTING REQUIREMENTS**

Simple Majority.

**OFFICER'S RECOMMENDATION MOVED Cr Raftis, SECONDED Cr O'Neill that the Audit and Risk Committee NOTES:**

- 1 the City's inclusion in the Office of the Auditor General performance audit into the management of staff exit controls in local government entities;**
- 2 that the report to be tabled in Parliament will be presented to the Audit and Risk Committee.**

**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. Office of the Audit General - Performance Audit [8.13.1 - 2 pages]
2. Office of the Audit General - Approach to Performance Audits [8.13.2 - 2 pages]



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## 8.14 INTERNAL AUDIT OUTCOMES - TENDER EVALUATION PROCESSES (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	50524, 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 outcomes of the internal audit into tender evaluation processes.

### EXECUTIVE SUMMARY

The *Three-Year Internal Audit Plan* is designed to bring a systematic methodology that contributes to the overall assurance provided to the Chief Executive Officer and the Audit and Risk Committee, that risks are appropriately identified, managed and controls are implemented and operating effectively.

Audit testing of the tender evaluation processes has been completed which found that the City's processes for requesting, opening and evaluating tenders is compliant with the City Protocol *Tenders for Procurement of Goods and Services* and the *Local Government (Functions and General) Regulations 1996*.

*It is therefore recommended that the Audit and Risk Committee NOTES the internal audit's outcomes into tender evaluation processes.*

### BACKGROUND

In line with the *Purchasing Council Policy*, a public tender must be called for goods and services with a value of more than \$250,000 unless any of the provisions of clause 11 (2) of the *Local Government (Functions and General) Regulations 1996* apply.

The City's Protocol *Tenders for Procurement of Goods and Services* reflects the requirements of the Regulations, particularly Division 2, and outlines employee responsibilities when purchasing goods and services when the consideration under the contract is expected to be more than \$250,000 for which a tender must be called.

The Protocol describes the procedures that must be followed throughout the tendering process including requesting tenders, tender evaluation panels, advertising, tender evaluation criteria, and opening of tenders.

An internal audit scope detailing the objectives of the audit was approved by the Acting Chief Executive Officer on 12 June 2023; with the results detailed in this Report.

## DETAILS

A representative random sample of ten tenders covering the years 2021/2022 and 2022/2023 were selected and all accompanying documentation subjected to audit testing.

Testing included the following crucial areas:

- Tender and contract establishment requests.
- Tender evaluation panels.
- Tender evaluation criteria.
- Safety questionnaires.
- Advertising, receipt and opening of tenders.
- Disclosures of confidentiality and interest.
- Tender evaluation and reference checks.
- Evaluation and recommendation reports.
- Tenders register.

Audit testing identified one discrepancy for Tender 042/22 – Provision of Irrigation Pump and Bore Maintenance Services. The Tender and Contract Establishment Request Form from the business unit showed the weightings for both ‘Demonstrated Experience’ and ‘Demonstrated Understanding’ as 30%. The Request for Tender and the Tender Evaluation Report showed these weightings as 35% and 25% respectively.

This was raised with Financial Services who reviewed the matter and confirmed that the weightings included in the Request Form were completed in error. At the time of the tender, the weightings were corrected in the tender document, circulated to the relevant business unit, included in the review meeting with the Director Corporate Services, and were approved to be issued. However, the Request Form was not updated to reflect the change; as is the normal process. There was no impact on the decision-making process and outcomes caused by this discrepancy.

Details of the tenders selected for testing, the tests applied, and the results are detailed in Attachment 1 to this Report.

## Issues and options considered

The City has well documented procedures to guide employees and help ensure that processes for requesting, opening, and evaluating tenders are compliant with the City Protocol *Tenders for Procurement of Goods and Services* and the *Local Government (Functions and General) Regulations 1996*.

## Legislation / Strategic Community Plan / Policy implications

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

## 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.

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**Policy** *Purchasing Council Policy.***Risk management considerations**

The City has controls in place which mitigate the risk exposures in the area subject to audit. The controls must be consistently applied and regularly reviewed to ensure they remain relevant and robust.

A lack of controls, or inconsistent application of controls, by the City within the area subject to audit increases the risks of significant reputational damage and/or financial losses being incurred through error or fraudulent activity.

Process and continuous improvements ensure any weaknesses identified can be rectified within a timely manner.

This audit activity 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*.

**Financial / budget implications**

Internal audit is carried out using existing budgeted resources.

**Regional significance**

An effective and consistent approach for requesting, opening, and evaluating tenders enhances the City's capability to serve the district, and wider region if relevant.

**Sustainability implications**

The financial sustainability of the City's operations depends on effective procedures and legislative compliance for requesting, opening, and evaluating tenders. Being responsible and financially sustainable is part of the goals of the City's *Strategic Community Plan*.

**Consultation**

Internal consultation with relevant officers occurs for each internal audit.

**COMMENT**

The City's Protocol *Tenders for Procurement of Goods and Services* is attached for information.

**VOTING REQUIREMENTS**

Simple Majority.

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**OFFICER'S RECOMMENDATION MOVED Cr Kingston, SECONDED Cr O'Neill that the Audit and Risk Committee NOTES the outcomes of the internal audit into tender evaluation processes.**

**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. Audit Details [8.14.1 - 1 page]
2. City Protocol [8.14.2 - 14 pages]

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## 8.15 INTERNAL AUDIT OUTCOMES - PERFORMANCE OF CONTRACTOR - GRAFFITI REMOVAL (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	09907, 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 outcomes of the internal audit into the performance of the Contractor, Kleenit, against the requirements of Contract 027/19 Provision of Graffiti Control Services and Associated Services for the third year of the contract.

### EXECUTIVE SUMMARY

The *Three Year Internal Audit Plan* is designed to bring a systematic methodology that contributes to the overall assurance provided to the Chief Executive Officer and the Audit and Risk Committee, that risks are appropriately identified, managed and controls are implemented and operating effectively.

Audit testing of the performance of the Contractor has been completed which verified that the Contractor had met targets contained in the Contract and was entitled to receive a bonus payment.

*It is therefore recommended that the Audit and Risk Committee NOTES the outcomes of the internal audit into the performance of the Contractor, Kleenit, against the requirements of Contract 027/19 Provision of Graffiti Control Services and Associated Services for the third year of the Contract.*

### BACKGROUND

Contract 027/19 – Provision of Graffiti Control Services and Associated Services commenced on 1 November 2019 for a three year period following approval by the Chief Executive Officer. The Contract includes a framework for a performance incentive payment or the application of a penalty depending on the Contractor's achievements, in line with Section 2.6 – *the provision of graffiti and sticker removal services under the duration of this Contract is inclusive of an incentive / penalty arrangement of 5% of the invoiced amount for completed graffiti/sticker removal jobs.*

An incentive payment will be applied to the Contractor fulfilling the following criteria:

- Achieve the required graffiti/sticker removal completion timeframes, as outlined in clause 2.5.3, for at least 85% of all graffiti/sticker work orders for a calendar month. and
- Satisfy the above criteria for at least ten months within each 12-month period, starting at the start of the Contract.

The bonus is calculated and paid after each 12-month anniversary period for the life of the Contract.

The contractor will incur a penalty where:

- the Contractor does not achieve the required graffiti/sticker removal completion timeframes, as outlined in clause 2.5.3, for at least 85%, of all graffiti/sticker work orders and
- the targets as outlined in clause 2.5.3, are not achieved four or more calendar months within each 12-month period, starting at the commencement of the Contract.

The timeframes are:

Work Type/Location	Required Completion Times	Actions Required
Offensive graffiti	24 hours	Graffiti removal and report back to Superintendent's representative
Graffiti on high profile City buildings and assets		
Graffiti in event staging areas		
Graffiti in the Joondalup City Centre	24 hours	Graffiti removal and normal information report back
Other graffiti	48 hours	
Sticker removal (optional item)	5 working days	Sticker removal and normal information report back

## DETAILS

Audit sample testing was undertaken for the period of 1 November 2021 to 31 October 2022 on the following performance:

	2021		2022									
	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
Graffiti removed	240	196	206	194	240	263	353	370	411	313	286	274
Removed in 2 days	239	196	206	193	240	255	353	370	405	313	286	274
Percentage removed	99.6	100	100	99.5	100	97	100	100	98.5	100	100	100

It was identified that some monthly graffiti reports showed the date of removal of graffiti was sometimes prior to the date of the graffiti being reported. Community Safety raised this with Information Technology, and it was determined that the issue related to input errors by the Contractor.

Audit testing verified that the Contractor had met targets contained in the Contract and was entitled to receive a bonus payment of \$4,190 (excluding GST) based on the total expenditure of \$83,807.

### **Issues and options considered**

There was a delay in completing the assessment for the bonus payment for the third year of the Contract as the performance review request from Financial Services was incorrectly being used as the trigger for the bonus payment review. Community Safety have now established a process to ensure that the bonus payment is completed immediately following the 12-month anniversary period each year of the Contract.

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

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

#### **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 City has controls in place which mitigate the risk exposures in the area subject to audit. The controls must be consistently applied and regularly reviewed to ensure they remain relevant and robust.

A lack of controls, or inconsistent application of controls, by the City within the area subject to audit increases the risks of significant reputational damage and/or financial losses being incurred through error or fraudulent activity.

Process and continuous improvements ensure any weaknesses identified can be rectified within a timely manner.

This audit activity 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*.

### **Financial / budget implications**

Internal audit is carried out using existing budgeted resources.

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**Regional significance**

Effective and consistent approach when evaluating the performance of a Contractor who has a performance incentive payment enhances the City's capability to deliver services to the district, and beyond, as relevant.

**Sustainability implications**

The financial sustainability of the City's operations depends on effective procedures when evaluating the performance of a Contractor who has a performance incentive payment. Being responsible and financially sustainable is part of the goals of the City's *Strategic Community Plan*.

**Consultation**

Internal consultation with relevant officers occurs for each internal audit.

**COMMENT**

The Contractor received a bonus payment of \$5,161.42 (excluding GST) in the first year of the Contract, and \$4,446.45 (excluding GST) in the second year of the Contract.

**VOTING REQUIREMENTS**

Simple Majority.

**OFFICER'S RECOMMENDATION MOVED Cr Raftis, SECONDED Cr O'Neill that the Audit and Risk Committee NOTES the outcomes of the internal audit into the performance of the Contractor, Kleenit, against the requirements of Contract 027/19 Provision of Graffiti Control Services and Associated Services for the third year of the Contract.**

**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**

Nil



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## 8.16 STATUS - IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	89528, 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 status of internal audit recommendations.

### EXECUTIVE SUMMARY

During 2023/24, several recommendations were made following internal audits into employee use of fleet vehicles and payments made after employee termination. This report presents an update on the progress of implementation.

*It is therefore recommended that the Audit and Risk Committee NOTES the status of the implementation of internal audit recommendations.*

### BACKGROUND

Internal audit is an independent and objective appraisal service designed to add value and assist an organization achieve its objectives through a systematic, disciplined approach to evaluate and improve the effectiveness of internal controls, legislative compliance and risk management processes.

The monitoring of these improvements, referred to as internal audit recommendations, is vital to provide assurance that internal controls are designed effectively and are operating as intended.

### DETAILS

The outcomes of the internal audits into employee use of fleet vehicles and payments made after employee termination were reported to the Audit and Risk Committee on 21 August 2023.

#### Findings – Employee use of fleet vehicles

- One employee was not making financial contributions for a restricted private use fleet vehicle once they returned to full time employment from parental leave in December 2021. Outstanding financial contributions will be determined for the employee to pay.

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**STATUS:** Employee was on long service leave during the audit and scheduled to return to work in October 2023; however, commenced making contributions on 8 July 2023. The outstanding contribution will be repaid by 5 July 2024 as the employee is making a higher contribution each fortnight.

- Some employees appeared on the Fleet Register as a driver/operator of a commuting use fleet vehicle when they do not have this status as part of their employment letter with the City.

No employee was using a fleet vehicle without the authorisation of their supervisor. 13 employees will be provided with a letter from the City confirming and/or reconfirming their status to use a fleet vehicle for commuting use. A further six employees (who are part of the Cleaning Crew team) will have their status updated to 'day use only' within the Fleet Register.

**STATUS:** Affected employees who hadn't previously received a confirmation letter were sent a letter with the relevant protocol attached – *City owned motor vehicle allocation and usage* protocol. Employees were required to acknowledge their agreement to the terms and conditions.

The Fleet Register has been updated to reflect the status of the Cleaning Crew team.

- Inconsistent systems to record the allocation of fleet vehicles. The City's *Request to Appoint* electronic form has been updated to include fleet vehicles as a mandatory field to complete prior to the confirmation of employment. This will allow the City to check the asset number and vehicle registration with the Fleet Management team.

The City's human resources electronic system now flags positions that have a fleet vehicle allocation, as well as the asset number being flagged against the relevant employee.

A live reporting dashboard will be developed to monitor for discrepancies.

**STATUS:** A prototype dashboard has been developed and continues to be modified based on user testing.

- The replacement date for 16 vehicles listed in the Fleet Register had expired, with five having Director approval for replacement. Two vehicles have since been replaced; 12 vehicles have been ordered; and two further vehicles are pending quotes being received.

**STATUS:** All 14 vehicles have been replaced. The Fleet Register has been updated with the correct replacement dates.

- The Protocol was last reviewed in 2007 and will be reviewed by the City during 2023/24.

**STATUS:** A review of the Protocol has commenced with input provided from Human Resources.

### Findings – Payments made after employee termination

- The internal audit confirmed that for the period under review, all payments were valid and accurate. The City will implement a process to enable notification of casual employees leaving the City to ensure leave entitlements are dealt with on a timely basis.

**STATUS:** The process was reviewed in September 2023 and strengthened. Supervisors now know that the City cannot keep casual employees active if they have not worked within the last six months; generally this would be three months however most of the roles are seasonal and it was determined that it would be operationally beneficial to increase to six months.

Human Resources have reintroduced a monthly report to alert supervisors which casual employees have not been allocated a shift to work. Team leaders within the relevant business units now have responsibility for monitoring the report, with Human Resources offboarding casual employees once the six month timeframe has passed, if not advised previously.

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

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

#### **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 City has controls in place which mitigate the risk exposures in the area subject to audit. The controls must be consistently applied and regularly reviewed to ensure they remain relevant and robust.

A lack of controls, or inconsistent application of controls, by the City within the area subject to audit increases the risks of significant reputational damage and/or financial losses being incurred through error or fraudulent activity.

Process and continuous improvements ensure any weaknesses identified can be rectified within a timely manner.

This audit activity 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*.

### **Financial / budget implications**

Internal audit is carried out using existing budgeted resources.

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**Regional significance**

Effective and consistent approach of internal controls enhances the City's capability to deliver services to the District, and beyond, as relevant.

**Sustainability implications**

The financial sustainability of the City's operations depends on effective procedures and legislative compliance. Being responsible and financially sustainable is part of the goals of the City's *Strategic Community Plan*.

**Consultation**

Internal consultation with relevant officers occurs for each internal audit.

**COMMENT**

The Office of the Auditor General places reliance on internal audit activities when conducting their annual financial audit of the City; timely monitoring of internal audit recommendations ensures continuous reduction of risk and documented evidence of process improvements.

**VOTING REQUIREMENTS**

Simple Majority.

**OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Kingston that the Audit and Risk Committee NOTES the status of the implementation of internal audit recommendations.**

**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**

Nil

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## 8.17 INTEGRITY AND CONDUCT CONTROLS (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	107084, 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 actions undertaken to strengthen the City's integrity and conduct controls.

### EXECUTIVE SUMMARY

The continued focus to strengthen integrity and conduct controls enhances the City's reputation and shows the commitment to ethical behaviour.

Details on activities that have been implemented or are currently being implemented are outlined in this Report.

*It is therefore recommended that the Audit and Risk Committee NOTES the actions undertaken to strengthen the City's integrity and conduct controls.*

### BACKGROUND

The business unit of Audit, Risk and Executive Services has two sub-services to assist with strengthen the City's integrity and conduct controls, these are as follows:

- Integrity and conduct controls with the objective *"to communicate the City's zero tolerance approach and response actions to fraudulent, corrupt and/or misconduct behaviours within the performance of its functions and interactions with contractors and suppliers, the community and all other stakeholders of the City"*.

The City's Integrity Officer is responsible for this objective and assists with activities and projects to enhance and strengthen the City's integrity and conduct controls including but not limited to the promotion and ongoing awareness activities of the City's whistleblowing program and public interest disclosure function.

- Internal audit and risk mitigation advice with the objective *"to ensure compliance with risk management, internal controls, legislative and governance requirements to achieve corporate objectives"*.

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The City's Risk and Business Continuity Advisor is responsible for this objective and provides a risk management function in accordance with the City's *Risk Management Framework*, as well as facilitating the City's risk management system to ensure continuous improvement and to minimise risk exposure to the City.

At its meeting held on 16 November 2022, the Audit and Risk Committee were provided with a review of the *Fraud Risk Management – Better Practice Guide* published by the Office of the Auditor General and the actions to be taken to strengthen integrity and conduct controls within the City. At its meeting held on 8 March 2023, the Audit and Risk Committee were provided with a status update of the fraud risk management action plan.

## DETAILS

In December 2022 the Chief Executive Officer approved the City's inaugural *Integrity Framework 2022-2026* (Attachment 1 refers). This Framework guides the City in providing the highest level of integrity for its community, and brings together the instruments, processes and structures within the organisation that foster integrity and help prevent corruption and misconduct from taking place. It also considers factors and conditions for implementation that influence within, and outside, the City's operations.

An Action Plan was developed that lists the actions, milestones and responsibility for implementation of the *Integrity Framework*, and contains 50 actions over the four year period of the Plan. The status of implementation is reviewed annually by the Executive Leadership Team.

One major activity of the *Integrity Framework* was the identification of positions of trust and assigning positions from the City's workforce. Positions of trust will be a live list to assist in promoting ethical behaviour and improving integrity and conduct outcomes. The Public Sector Commission have identified corrupt practices through an individual's abuse of the trust placed in their position, and through various reports and strategies have promoted the importance of integrity and conduct checks, particularly for employees in positions of trust. Refer to Attachment 2 for the definitions of the positions of trust.

At this stage there is no additional requirement for an employee within a position of trust, other than to be informed of the possibility for position descriptions to be updated. The next step in this activity is to ensure relevant individuals undergo regular criminal history checks (as recommended by the Office of the Auditor General).

The City's Integrity Officer has commenced a self-assessment of the *Integrity Framework* now it has been in operation for over 12-months. This ties into one of the recommendations of the November 2023 report of the Joint Standing Committee on the Corruption and Crime Commission titled *What Happens Next? Beyond a Finding of Serious Misconduct* was that the Public Sector Commissioner require public sector agencies, after implementing their Integrity Frameworks, to complete the PSC's Integrity Framework Maturity Self Assessment Tool on an annual basis, or seek permission from the Commissioner to not complete this tool. The committee also strongly recommends that public authorities within the remit of the Corruption and Crime Commission, that are not part of the 'public sector', including local governments, GTEs and universities, implement an integrity framework and complete the Integrity Framework Maturity Self Assessment Tool on an annual basis.

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Status update of the fraud risk management action plan

- Assess the fraud control principles as outlined in the Better Practice Guide along with the requirements of the updated Australian Standard *AS 8001:2021 Fraud and Corruption Control* to inform the development of a fraud and corruption control system.

**STATUS:** A *Fraud, Corruption and Misconduct Control Framework* has been approved by the Chief Executive Officer. The online Framework includes foundations, prevention and detecting activities with links to the relevant documents. This Framework is to be used in awareness raising programs (Attachment 3 refers).

- Update the current *Risk Management Framework* to specifically mention fraud and/or corruption and present to the Audit and Risk Committee before being endorsed by Council.

**STATUS:** The revised Framework includes:

- a definition of corruption risk and fraud risk;
- the reduction of fraud and corruption incidents as a benefit of good risk management;
- updated terms of reference for the Audit and Risk Committee – *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)*;
- reference to *well-designed controls that include response triggers to indicate where failures may exist when a process is exposed to opportunities for misconduct or fraud/theft*;
- reference to fraud or corruption incidents within the *Risk Matrix* with a consequence of 'intolerable' under the classification of 'governance and compliance'; and
- reference to misconduct/fraud within the *Risk Matrix* individual control effectiveness criteria/guidance.

The revised Framework was presented to the Audit and Risk Committee at its meeting held on 13 November 2023; the Committee deferred the report until 11 March 2024.

- Update the current *Fraud, Corruption and Misconduct Control Council Policy* to align with the Australian Standard *AS 8001:2021 Fraud and Corruption Control* and present to the Audit and Risk Committee before being presented to the Policy Committee and Council for endorsement.

**STATUS:** The revised Policy was presented to the Audit and Risk Committee at its meetings held on 8 March and 21 August 2023 – following the Policy Committee meeting held on 8 May 2023. Council adopted the revised Policy at its meeting held on 28 November 2023 (CJ245-11/23 refers).

- 
- Update the Misconduct Protocol to ensure alignment with policy intent of the *Fraud, Corruption and Misconduct Control Council Policy*.

**STATUS:** The Misconduct Protocol has been updated for review by Human Resources.

- Develop a Fraud, Corruption and Misconduct Control Plan and initiate awareness training amongst Elected Members and employees related to fraud and misconduct.

**STATUS:** A *Fraud, Corruption and Misconduct Control Framework* – rather than a Plan – has been approved by the Chief Executive Officer. The online Framework includes foundations, prevention and detecting activities with links to the relevant documents. This Framework is to be used in awareness raising programs (Attachment 3 refers).

- Match process activities with risk within the City's electronic risk management system to easily identify when and where risk events can occur and where risk controls sit.

**STATUS:** In progress.

- Review the current Codes of Conduct and update if required, any references to misconduct to include fraud and corruption.

**STATUS:** Biennial review scheduled for Q1 2024/25.

- Progress an awareness raising program across the organisation to ensure employees recognise red flags for fraud, corruption and misconduct.

**STATUS:** A session was held in August 2023 for the Chief Executive Officer, Directors, Managers and employees from high-risk areas of Audit, Risk and Executive Services; Financial Services; and Human Resources by the Public Sector Commission on misconduct prevention, covering why some public officers may engage in misconduct, the functions and activities that may be more vulnerable to misconduct, some of the behavioural red flags to be aware of, and how to respond to these red flags.

Since December 2023, internal messages on integrity in the workplace and integrity decision making have been displayed on digital screens and Sharepoint (Intranet) in the Administration Building and Works Operation Centre (Attachment 4 refers).

- Training to be included as part of the City's Induction Process and refresher training to maintain awareness of:

- Fraud, Corruption and Misconduct Control Policy
- Risk Management Policy
- Risk Management Framework
- Integrity Framework

**STATUS:** Verbal awareness raising occurs as part of the employee induction process. Three online training modules are in development for employees, with an in-person session also being developed. This training will be modified for elected members.



Session 1 relates to values and behaviour expected and is to raise awareness of integrity and conduct – what it means to the individual – and where they fit into the accountability framework. It also aims to assist the individual in understanding their day-to-day decision making as they act in the public interest.

Session 2 relates to the code of conduct including conflicts of interest; personal behaviour; information, record keeping and official communications; and improper use of information.

Session 3 relates to the use of City resources including gifts, benefits and hospitality; fraudulent, corrupt and misconduct behaviours; fraud triangle; behavioural red flags; reporting and management of code breaches; and public interest disclosure.

Videos from the Public Sector Commission and Corruption and Crime Commission are also included in the modules, such as – everybody can be an integrity leader; anything to declare; identify conflicts of interest; conflicts of interest myths; and think corruption doesn't affect you? Think again.

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

**Legislation**                      Corruption, Crime and Misconduct Act 2003.  
    *Local Government (Administration) Regulations 1996.*  
    *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**                              *Fraud, Corruption and Misconduct Control Council Policy.*  
    *Risk Management Council Policy.*

### **Risk management considerations**

As a large local government providing a wide variety of services to the community, appropriate systems of control are required to be developed and implemented to ensure that objectives are achieved. Vigilance should be constant, and systems of control should be subject to regular review and updated as appropriate to prevent, deter and detect opportunities for fraudulent and corrupt activity.

Regular reviews provide 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*.

### **Financial / budget implications**

Integrity and conduct activities are carried out using existing budgeted resources.

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**Regional significance**

Strong focus on integrity and conduct controls enhances the City's capability to deliver services to the District, and beyond, as relevant.

**Sustainability implications**

The financial sustainability of the City's operations depends on effective integrity and conduct controls with the aim to decrease the risks of significant reputational damage and/or financial losses being incurred through error or fraudulent activity. Being responsible and financially sustainable is part of the goals of the City's *Strategic Community Plan*.

**Consultation**

The Public Sector Commission has been providing guidance in the training modules' development and hopes to use these to assist other local governments.

**COMMENT**

Since April 2023, the City has been preparing for the privacy and responsible information sharing reforms. These reforms require the City to provide a level of protection for the privacy of personal and/or sensitive information obtained through our operations. This will provide further controls to ensure the City is ethical and compliant in how we manage such information.

**VOTING REQUIREMENTS**

Simple Majority.

**OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Pizzey that the Audit and Risk Committee NOTES the actions undertaken to strengthen the City's integrity and conduct controls.**

**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. Integrity Framework 2022 [8.17.1 - 20 pages]
2. Positions of Trust [8.17.2 - 2 pages]
3. Fraud Corruption and Misconduct Control Framework [8.17.3 - 1 page]
4. Integrity Messages [8.17.4 - 3 pages]

## 8.18 CONFIDENTIAL - REPORT OF THE JOINT STANDING COMMITTEE ON THE CORRUPTION AND CRIME COMMISSION (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	107481
<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) of the *Local Government Act 1995*, which permits the meeting to be closed to the public for business relating to the following:

- (f) *a matter that if disclosed, could be reasonably expected to:*
- (i) *impair the effectiveness of any lawful method or procedure for preventing, detecting, investigating or dealing with any contravention or possible contravention of the law.*

A full report was provided to elected members under separate cover. The report is not for publication.

### OFFICER'S RECOMMENDATION

That the Audit and Risk Committee NOTES Report 11 of the Joint Standing Committee on the Corruption and Crime Commission titled What Happens Next? Beyond a Finding of Serious Misconduct.

**ALTERNATE RECOMMENDATION MOVED Cr Kingston, SECONDED Cr Raftis that Council:**

- 1** **NOTES Report 11 of the Joint Standing Committee on the Corruption and Crime Commission titled What Happens Next? Beyond a Finding of Serious Misconduct;**
- 2** **WRITES to the relevant Ministers noting that the City of Joondalup supports the recommendations in relation to local government contained in the inquiry report being recommendations 24 through to 34.**

**The Alternate was Put and**

**CARRIED (5/0)**

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

**Against the Alternate Motion:** Nil.

*The Director Governance and Strategy, the Director Infrastructure Services, the Director Planning and Community Development, the Director Corporate Services, the Manager Governance and the Governance Officer left the Room at 8.42pm.*

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**8.19 CONFIDENTIAL - ALLEGATIONS OF MISCONDUCT (WARD - ALL)**

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	105279
<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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This report is confidential in accordance with section 5.23(2) 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 was provided to elected members under separate cover. The report is not for publication.

**OFFICER'S RECOMMENDATION MOVED Cr Kingston, SECONDED Cr O'Neill that the Audit and Risk Committee NOTES the allegations of misconduct since the last report on this issue to the Audit and Risk Committee on 8 March 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.

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**9 URGENT BUSINESS**

Nil.

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

Nil.

**11 REQUESTS FOR REPORTS FOR FUTURE CONSIDERATION**

Cr O'Neill requested a report on the review of employees use of fleet vehicles, including the comparison of odometer readings and fuel consumption.

**12 CLOSURE**

There being no further business, the Presiding Member declared the meeting closed at 9.10pm 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

## **11 MARCH 2024 - AUDIT AND RISK COMMITTEE - MINUTES ATTACHMENTS**

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2024 Corporate Compliance Calendar

Last Reviewed: January 2024

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Officer Responsible	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
	January - Take Action											
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	1/29/2024	MIN21/87 (CJ045-04/21 refers)		Complete
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				In Progress
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			FAS for Jan 2024 to go to March 2024 Council meeting	In Progress
Jan	<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 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			Jan 2024 transactions being reported to March 2024 Council meeting	In Progress
Jan	<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 13A		Monthly	Corporate Services	Financial Services	Manager Financial Services			Jan 2024 transactions being reported to March 2024 Council meeting	In Progress
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	5/26/2021	INT21/22938	5 yearly, next due 2026. Licence number DGS015339. Date of Issue 26/05/2021.	Complete
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	11/28/2023	INT23/68400	Craigie Leisure Centre scored 99.52% in Royal Life Saving Safety Assessment Audit.	Complete
Jan	<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	1/22/2024	INT24/3954	Review complete. Presented to ELT for approval on 5/02/2024.	Complete
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	2/12/2024	INT24/8362	Review complete. No issues identified.	Complete
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	2/6/2024	INT24/7208 INT24/7095	Published to the City's website.	Complete
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	2/14/2024	INT17/61358	Published to the City's website.	Complete
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: 2025</b>	Governance and Strategy	Governance	Manager Governance	N/A	N/A	N/A	



2024 Corporate Compliance Calendar

Last Reviewed: January 2024

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Officer Responsible	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
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)	<b>WALGA</b> - Governance Subscription - Guideline - Primary and Annual Returns Management <b>DLGSC</b> Operational Guideline No.21 Disclosure of Financial Interests in Returns	Biennial <b>Next due 2024</b>	Governance and Strategy	Governance	Manager Governance	1/15/2024	INT24/5606 INT24/5604 INT24/5603 INT24/5602		Complete
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		<b>WALGA</b> - Governance Subscription - Decision Making in Practice Toolkit - Part 3 Authorisations	Annual	Governance and Strategy	Governance	Manager Governance	1/15/2024		The City has commenced a review of the Authorised Persons Register.	In Progress
Jan	<b>Occupational Safety and Health</b> - Review of occupational safety and health processes to ensure compliance with City's legislative requirements	Work Health and Safety Act 2020			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	1/4/2024	EMO24/735		Complete
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	1/4/2024	EMO24/735		Complete
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			No claims submitted in January 2024	
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	1/31/2024	Online submission		Complete
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	1/29/2024		Audit Conducted. An update to the current service agreement was required. Owners notified of impounded vehicles where required.	Complete

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	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
	<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	<b>DLGSC</b> WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services	22/01/2024 29/01/2024	CM ref not yet assigned. Feb 24 Council agenda references: 12.14: FAS Nov 2023 12.15: FAS Dec 2023	Reports for Nov and Dec 2023 to Feb 2024 Council meeting	Complete
Feb	<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 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	1/23/2024	CM ref not yet assigned. Feb 24 Council agenda references: 12.16: List of Pmts Nov 23 12.17: List of Pmts Dec 23	Reports for Nov and Dec 2023 to Feb 2024 Council meeting	Complete
Feb	<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 13A		Monthly	Corporate Services	Financial Services	Manager Financial Services	1/24/2024	CM ref not yet assigned. Feb 24 Council agenda references: 12.18: Card transactions for Nov 23 12.19: Card transactions for Dec 23	Reports for Nov and Dec 2023 to Feb 2024 Council meeting	Complete
Feb	<b>Annual Electors' General Meeting - Local Public Notice</b> of AEGM - CEO to give at least 14 days local public notice of AEGM	Local Government Act 1995	s.5.27 s.5.29 Admin.Reg.15, 17 and 18,		Annual	Governance and Strategy	Governance	Manager Governance	2/6/2024	INT24/7643	Published on the City's website, local public notice boards, social media and E-newsletter on 06/02/2024.	Complete
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			Completed at the end of each month.	In Progress
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	N/A	N/A	N/A	
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	N/A	N/A	N/A	
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	2/13/2024	Awaiting Minutes from CoW		Complete
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	6/15/2023	PRP23/24732 and EMI23/5884		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
	March - Take Action											
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 <b>31 March</b>	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.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				
Mar	<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 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				
Mar	<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 13A		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 <b>1 January</b> and <b>31 March</b> 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	2/8/2024	CM reference not yet assigned. Feb 2024 Council agenda item 12.21		Complete
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.Reg.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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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>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	<b>DLGSC</b> WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Apr	<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 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				
Apr	<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 13A		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)	<b>DLGSC</b> 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.6.16 s.6.17 s.6.18	<b>DLGSC</b> 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	<b>WALGA</b> Template Enrolment Eligibility Claims Register	Biennial <b>Next Due: 2025</b>	Governance and Strategy	Governance	Manager Governance				
Apr	<b>Elections</b> - Create Election Timeline	Local Government Act 1995	Part 4		Biennial <b>Next Due: 2025</b>	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 <b>Next Due: 2025</b>	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	<b>DLGSC</b> website - Integrated Planning and Reporting Framework and Guidelines	Annual <b>Next Due: April/May 2024</b>	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 (Clth)			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 Next Due: 2023	Planning and Community Development	Planning Services	Manager Planning 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
	May - Take Action											
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	<b>DLGSC</b> WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
May	<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 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				
May	<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 13A		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 <b>21 day</b> 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	<b>DLGSC</b> 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	<b>DLGSC</b> website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
May	<b>Dangerous Goods Site Licence</b> In order for the City to store and handle chlorine gas onsite, the City is required to have Dangerous Goods Site Licence. Issued in accordance with the Dangerous Goods Safety Act 2004 and associated regulations	Dangerous Goods Safety Act 2004			5-yearly <b>Next Due: 2026</b>	Corporate Services	Leisure and Cultural Services	Manager 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)	<b>WALGA</b> - Governance Subscription - Guideline - Primary and Annual Returns Management <b>DLGSC</b> 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: <b>27/06/2023</b> <b>Next Due: May 2024</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</b> website - Decision Making in Practice Toolkit Part 2 Delegations <b>WALGA</b> website - Webinar - Decision Making in Practice - Delegations <b>DLGSC</b> 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
	June - Take Action											
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>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 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				
Jun	<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 13A		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 annually 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</b> website - Determination for Local Government	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</b> website - WA Local Government Accounting Manual	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>35 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</b> website - WA Local Government Accounting Manual	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</b> website - WA Local Government Accounting Manual	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>27/06/2023</b> <b>Next Due: June 2024</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</b> website - Decision Making in Practice Toolkit Part 2 Delegations <b>WALGA</b> website - Webinar - Decision Making in Practice - Delegations <b>DLGSC</b> website - Operational Guideline No.17 Delegations	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</b> website - Integrated Planning and Reporting Framework and Guidelines	Annual	Governance and Strategy	Human Resource Services	Manager Human Resource Services				
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> <b>Next Due by: 30 June 2026</b>	Local Government Act 1995	s.5.56 Admin.Reg.19C	<b>DLGSCI</b> website - Integrated Planning and Reporting Framework and Guidelines	4-yearly major review <b>Next Due: 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	<b>DLGSC</b> website - Integrated Planning and Reporting Framework and Guidelines	4-yearly <b>Next Due: 2026</b>	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)	<b>DLGSC</b> website - Integrated Planning and Reporting Framework and Guidelines	4-yearly <b>Next Due: 2026</b>	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				
Jun	<b>Corporate Business Plan - Review (Council Adoption)</b> <b>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	<b>DLGSC</b> 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</b> - Review 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)		Annual	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 <b>Last reviewed: 2022/23</b> <b>Next Due: 2027/28</b>	Emergency Management Act 2005	s. 42		5-yearly Next Due: 2027	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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	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): <b>17/03/2020</b> <b>Due by: 31/07/2025</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				
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): <b>17/03/2020</b> <b>Due by: 31/07/2025</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				
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): <b>17/03/2020</b> <b>Due by: 31/07/2025</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				
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): <b>17/03/2020</b> <b>Due by: 31/07/2025</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				
Jul	<b>Public Interests Disclosures</b> - Provide Annual Report to Commissioner for Public Interests Disclosures <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				
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)(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				
Jul	<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 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				
Jul	<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 13A		Monthly	Corporate Services	Financial Services	Manager Financial Services				
Jul	<b>Emergency Services Levy - End of Year Reconciliation Report</b> <b>Due by: 31 July</b> Schedule 6 Form C	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				
Jul	<b>Annual Budget - Copy of Annual Budget as adopted to DLGSCI Executive Director</b> within <b>14 days</b> of the Budget adoption, plus a copy of the Council Report / Minutes relevant to the budget adoption.	Local Government Act 1995	FM Reg.33.	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
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				
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)	<b>WALGA</b> - Governance Subscription - Guideline - Primary and Annual Returns Management <b>DLGSC</b> Operational Guideline No.21 Disclosure of Financial Interests in Returns	Bi-monthly	Governance and Strategy	Governance	Manager Governance				
Jul	<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				
Jul	<b>Report on Elected Member Training</b> <b>Due by: 31 July</b> 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 <b>Due: 31 July</b>	Governance and Strategy	Governance	Manager Governance				

Jul	<b>Register of Fees and Allowances Paid to Elected Members</b> <b>Due by: 14 July</b> 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 <b>Due: 14 July</b>	Governance and Strategy	Governance	Manager Governance				
Jul	<b>Annual Returns</b> - Request 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)	<b>DLGSC</b> Operational Guideline No.21 Disclosure of Financial Interests in Returns	Annual	Governance and Strategy	Governance	Manager Governance				
Jul	<b>Agreement for WAEC to conduct the election</b> required by: (80th day)	Local Government Act 1995	s.4.20(2)(3)(4) s.4.61(2)(4)	<b>DLGSC</b> Elections Timetable <b>DLGSC</b> Returning Officer Manual	Biennial <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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	<b>WALGA</b> - Model Code of Conduct for Council Members, Committee Members and Candidates	Biennial <b>Next due 2023</b>	Governance and Strategy	Governance	Manager Governance				
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: <b>6 July 2021</b> <b>Due by: 6 July 2026</b>	State Records Act 2000 Local Government Act 1995	s.28(5) s.5.41(h)	<b>State Records Office</b> website - Record Keeping Plan Templates and Guidelines	5-yearly <b>Next Due: July 2026</b>	Governance and Strategy	Governance	Manager Governance				
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				
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				
Jul	<b>Water Licences</b> - Report on usage of ground water 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				
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				
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				
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				
Jul	<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				
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				
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				

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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
	August - Take Action											
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				
Aug	<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 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				
Aug	<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 13A		Monthly	Corporate Services	Financial Services	Manager Financial Services				
Aug	<b>Annual Budget</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.	Local Government Act 1995	s.6.2(1)	DLGSC WA Local Government Accounting Manual	Annual <b>Due by: 31 August</b>	Corporate Services	Financial Services	Manager Financial Services				
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 <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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 <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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 <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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 <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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 <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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				
Aug	<b>Dangerous Goods</b> - Dangerous Goods Storage Licence Renewal for 1st August	Dangerous Goods Safety Act 2004			Annual	Infrastructure Services	Parks and Natural Environment	Manager Parks and Natural Environment				
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				
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.	Building Amendment Regulations 2023	Reg. 53B		Annual <b>Due by: 1 August</b>	Planning and Community Development	Regulatory Services	Manager Regulatory Services				
Aug	<b>Food Act and Public Health Act reporting</b> - Enforcement agencies must report to the Dep't 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 <b>Due by: 31 August</b>	Planning and Community Development	Regulatory Services	Manager Regulatory Services				
Aug	<b>Disability Access and Inclusion Plan - Reporting</b> Submit an annual report on the progress of the City's Access and Inclusion Plan.	Disability Services Act 1993	s.29(2)		Annual	Planning and Community Development	Community Development and Library Services	Manager Community Development & Library Services				

Aug	Library Statistics - 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				
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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>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	<b>DLGSC</b> WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
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 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				
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 13A		Monthly	Corporate Services	Financial Services	Manager Financial Services				
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		<b>DFES</b> - ESL Manual of Operating Procedures	Quarterly	Corporate Services	Financial Services	Manager Financial Services				
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				
Sep	<b>Annual Financial Report</b> - Prepare and submit to the Auditor. Content of Annual Report to comply with FM.Reg.36(2). Due: <b>30/09/2024</b>	Local Government Act 1995	s.6.4 FM.Reg.36	<b>DLGSC</b> website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
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)	<b>WALGA</b> - Governance Subscription - Guideline - Primary and Annual Returns Management <b>DLGSC</b> Operational Guideline No.21 Disclosure of Financial Interests in Returns	Bi-monthly	Governance and Strategy	Governance	Manager Governance				
Sep	<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				
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				
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)	<b>DLGSC</b> Elections Timetable <b>DLGSC</b> Returning Officer Manual	Biennial <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
Sep	<b>Elections - Nominations Close</b> at 4pm on (37th day before Election Day)	Local Government Act 1995	s.4.49(a)	<b>DLGSC</b> Elections Timetable <b>DLGSC</b> Returning Officer Manual	Biennial <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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 <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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)	<b>DLGSC</b> Elections Timetable <b>DLGSC</b> Returning Officer Manual	Biennial <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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)	<b>DLGSC</b> Elections Timetable <b>DLGSC</b> Returning Officer Manual	Biennial <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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)	<b>DLGSC</b> Elections Timetable <b>DLGSC</b> Returning Officer Manual	Biennial <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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	<b>DLGSC</b> Elections Timetable <b>DLGSC</b> Returning Officer Manual	Biennial <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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 <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				
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 <b>Next due 2025</b>	Governance and Strategy	Governance	Manager Governance				



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: <b>1 October 2021, then annually by 1 October</b>	Waste Avoidance and Resource Recovery Act 2007	s.44		Annually <b>Due 1 October</b>	Infrastructure Services	Waste Services	Manager Waste Services				
Sep	<b>Report on DWER Site Licence for the WOC</b> - undertake a compliance audit of the conditions set out in the site licence and submit an Annual Audit Compliance Report.	Waste Avoidance and Resource Recovery Act 2007	s.44		Annually <b>Due: 16 November</b>	Infrastructure Services	Waste Services	Manager Waste Services				
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				
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.		<b>DLGSC</b> website - Integrated Planning and Reporting Framework and Guidelines	Annual	Planning and Community Development	Community Development and Library Services	Manager Community Development & Library Services				
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.		<b>DLGSC</b> website - Integrated Planning and Reporting Framework and Guidelines	Annual	Planning and Community Development	Community Development and Library Services	Manager Community Development & Library Services				

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	October - Take Action											
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				
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 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				
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 13A		Monthly	Corporate Services	Financial Services	Manager Financial Services				
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	Manger Leisure and Cultural Services				
Oct	<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 Irration Act 1914	Clause 15 / Schedule 1		Annual	Corporate Services	Leisure and Cultural Services	Manger Leisure and Cultural Services				
Oct	<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				
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				
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: 2025	Governance and Strategy	Governance	Manager Governance				
Oct	<b>Agreement for WAEC to conduct the Election</b> Report to Council.	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: 2024	Governance and Strategy	Governance	Manager Governance				
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 2025	Governance and Strategy	Governance	Manager Governance				
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 2025	Governance and Strategy	Governance	Manager Governance				
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 2025	Governance and Strategy	Governance	Manager Governance				
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 2025	Governance and Strategy	Governance	Manager Governance				
Oct	<b>Elections</b> - Declarations of Office 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 2025	Governance and Strategy	Governance	Manager Governance				
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 2025	Governance and Strategy	Governance	Manager Governance				
Oct	<b>Primary Returns</b> - Request new Elected Members - required to be lodged with CEO within 3 months of making Declarations of Office	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 2025	Governance and Strategy	Governance	Manager Governance				
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 2025	Governance and Strategy	Governance	Manager Governance				
Oct	<b>Election of Deputy Mayor</b> - elected from amongst the Councillors - conducted in accordance with Schedule 2.3, Div.1 - <b>SCM - TBA</b>	Local Government Act 1995	s.2.11(1)(b) Schedule 2.3,Div.1		Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				

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				
Oct	<b>Appointment of Elected Members to External Bodies - SCM - TBA</b>				Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Oct	<b>Elections</b> - Refund candidate deposits following advice from WAEC	Local Government (Elections) Regulations 1997	Reg. 27		Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Oct	<b>Electoral Gifts Register</b> - Remove any unsuccessful candidates disclosures from Electoral Gift Register	Local Government (Elections) Regulations 1997	Reg. 30G(3)		Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
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 2025	Governance and Strategy	Governance	Manager Governance				
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				
Oct	<b>Elected Member Induction</b> - Provide an induction for newly elected Councillors.	n/a	n/a	WALGA website - Webinar Introduction to the Local Government Act for Elected Members	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
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				
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				
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				
Oct	<b>ABS</b> - Submit quarterly road construction report to Australian Bureau of Statistics				Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				
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				
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				
Oct	<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				
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				
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				
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				

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	November - Take Action											
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</b> Website - PID Officer's Code of Conduct and Integrity <b>Public Sector Commission</b> Website - PID Officer's Declaration Form	Annual	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
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</b> Website - Commissioner's Guidelines for Public Authorities	Annual	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
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</b> website - 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 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 13A		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</b> website - 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</b> website - 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	s5.89A 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</b> website - Returning Officer Manual	Biennial Next due 2025	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 2025	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 2025	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 2025	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 Next due 2025	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 Next due 2025	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	<b>WALGA</b> 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)	<b>WALGA</b> - Governance Subscription - Guideline - Primary and Annual Returns Management <b>DLGSC</b> 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				
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				

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: <b>2013</b> <b>Next Due: 31/12/2025</b>	n/a	n/a	AS/NZS 5050:2010 Business continuity – Managing disruption-related risks	Biennial <b>Next Due: 2025</b>	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
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	<b>DLGSC</b> 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 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 13A		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.	<b>DFES -ESL</b> website - Manual of Operating Procedures	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Dec	<b>Emergency Services Levy - Option B Payment Due by: 21 December</b> and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures		<b>DFES -ESL</b> website - Manual of Operating Procedures	Quarterly	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 avail 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	<b>DLGSCI</b> website - WA Local Government Accounting Manual	Annual	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)	<b>DLGSC</b> 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>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				
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 <i>Information Statement</i> , reviewed within every 12-months Last completed: <b>Dec 2023</b> <b>Due by: Dec 2024</b>	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				
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				
Dec	<b>Budget New</b> - Determine Swimming Pool Inspection Fees for annual budget by 24 January	Building Amendment Regulations 2023	Reg.53A(3)		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				
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Complete  
In Progress  
Behind Schedule

**Software Purchased FY2022-23**

<b>Name / Description</b>	<b>Cost</b>	<b>Used By</b>	<b>Used For</b>	<b>Contract Commitment</b>
Microsoft Dynamics	\$458,560	Information Technology (Corporate system)	Core system replacement project (Project Axiom)	First year's subscription of a 5-year Enterprise Agreement as per State Government CUA
Microsoft M365 Enterprise Agreement	\$450,288	Information Technology (Corporate system)	Microsoft M365 suite of products i.e., MS Office, Email, Outlook, SharePoint etc. 1100 individual subscriptions.	Annual subscription (Year 1 of 5-year Enterprise Agreement under State Government CUA)
Crowdstrike	\$209,462	Information Technology (Core IT infrastructure)	Cyber-security software	2-year subscription
820 Enterprise Mobility + Security E3 plans	\$132,204	Information Technology	Cyber-security software. Superseded by M365 Enterprise Agreement and will not be renewed for FY2023-24.	Microsoft CSP agreement. Monthly subscription.
Spydus	\$74,493	Libraries	Library Management System	Annual support
Promapp Enterprise	\$65,819	Audit & Risk, Organisational Development	Process mapping, risk management.	Annual subscription
Pure Storage	\$60,000	Information Technology (Core IT infrastructure)	Data storage system	1 year of a 3-year subscription
Content Manager	\$59,990	Records	Records system	Annual support
Aurion	\$58,235	Human Resources & Payroll	HR & Payroll system	Annual support
Darktrace	\$49,935	Information Technology (Core IT infrastructure)	Real-time network security monitoring system	Annual subscription (3rd year of 3-year contract)
Box.com	\$47,420	Information Technology (Corporate system)	Secure file transfer software (50 seats)	Annual subscription
Crowdstrike Identity Threat Protection	\$44,720	Information Technology (Core IT infrastructure)	Cyber-security software	1-year annual subscription
Azure Plan 2	\$41,148	Information Technology (Core IT infrastructure)	Part of the Microsoft cloud infrastructure used to support various corporate systems.	Monthly subscription (CSP)
Links Modular Solutions	\$40,769	Leisure Centres	Point-of-sale system – management system for the Leisure Centre.	Annual subscription, paid in 2 instalments every 6 months



5 Visual Studio Enterprise	\$39,966	Information Technology	Required to implement Core System Replacement Project	12-month subscription.
Airlock Application Whitelisting	\$39,173	Information Technology (Core IT infrastructure)	App Whitelisting software – cyber security system	Year 2 of a 3-year contract
NearMap Advantage LGA Tier 2	\$37,000	Information Technology (Corporate system)	Aerial photography datasets	Annual subscription
Objective Trapeze	\$35,000	Planning Services, Records Services	Document markup and records integration for planning documents (architectural plans etc.)	Annual subscription
Microsoft E3 CSP licences (Telstra)	\$28,584	Information Technology (Corporate system)	Older Office 365 subscriptions from before the Data#3 Enterprise Agreement that are still in use.	Monthly subscription
Cloudguard SaaS	\$28,473	Information Technology (Core IT infrastructure)	Cloud systems cyber security	Annual subscription (3rd year of 3-year contract)
Attain Compliance Software	\$26,818	Audit & Risk Administration	Management of gift declarations, annual returns etc.	12-month subscription
VEEAM	\$26,308	Information Technology (Core IT infrastructure)	Data backup system	Annual subscription
Deputy	\$24,000	Leisure Centres	Rostering software	Monthly subscription
Doc Assembler	\$24,000	Governance	Minutes and Agenda system	Annual subscription
TechnologyOne ICON	\$22,286	Planning Services	Planning and building application lodgment. (Due to be retired FY2023-24 as the new core system comes online.)	Annual subscription
Nintex NCAP Enterprise	\$22,256	Information Technology (Corporate system)	Online Forms & Workflow software that integrates with Microsoft SharePoint	Annual subscription
Kofax Excellerate	\$21,138	Financial Services	Invoice processing software	Annual subscription
130 Power BI Pro subscriptions	\$20,736	Various	System for creating reports and dashboards.	Microsoft CSP agreement. Monthly subscription.
AutoCAD Multi-User licence	\$19,925	Infrastructure Services	CAD software	Annual subscription

EFTSure	\$19,260	Financial Services	Bank account validation – part of Accounts Payable process	12-month subscription
13 Adobe Creative Cloud	\$16,904	Marketing	Graphic design tool	Annual subscription
VendorPanel Procurement	\$16,384	Financial Services (Contracts)	WALGA procurement system	Annual subscription
Nintex NCAP Enterprise	\$15,000	Information Technology (Corporate system)	25 additional seats	Annual subscription
Bookings Manager	\$14,321	Rec Services Admin	Facilities booking system	Annual subscription
Black Peral Mail	\$14,275	Marketing	Email signature management	Annual subscription
Telensa Smart Lighting Control	\$13,149	Infrastructure Services	Lighting control	Annual subscription
Mimecast Cyber Security	\$12,547	Information Technology	Online cyber-security testing and training system. All staff and elected members receive the training videos monthly.	Annual subscription
25 MS Project subscriptions	\$12,192	Various	Used by project managers when managing large projects.	Microsoft CSP agreement. Monthly subscription.
SmartyGrants	\$11,363	Rec Services Admin	Grants management	Annual subscription
Experian QAS	\$8,793	Records, Finance	Postal address validation and Australia Post address barcoding	Annual subscription
Brolly	\$8,388	Records / Marketing	Social Media archiving & record-keeping compliance system	Annual subscription
FYB 365 2CM	\$7,355	Information Technology, Records	Synchronises Microsoft SharePoint files with Content Manager (Records Management system)	Annual subscription
Aurion ATO Gateway	\$7,239	Payroll	Gateway for transmitting data to ATO via One Touch Payroll (ATO mandated)	Annual subscription
12D Model Software	\$6,750	Civil Design	CAD software	Annual support \$843
Scalefusion	\$5,615	Information Technology	Mobile device management (i.e., cyber-security) system for JEM tablets used by Operations. Being phased out as older tablets come up for replacement.	Annual subscription
Vemcount People Counting	\$4,838	Leisure Centres	Customer counting for CLC	Annual subscription

SportsTG	\$4,741	Leisure Centres	Basketball scoring	Annual subscription
Proxy Pro 10	\$4,736	Information Technology	PC remote access software. Used by Help Desk to provide support.	Annual support
Rightfax	\$4,219	Records	Fax gateway software	Annual support
Survey Monkey	\$4,021	Policy (SOD)	Consultation surveys	Annual subscription
LINCS (Data Diction)	\$4,000	Libraries	Community contacts database	Annual subscription
NEC Snapshot	\$3,812	Customer Care	Phone system extension	Annual maintenance, \$1,056
ESRI ArcGIS	\$3,790	Strategic Asset Management	GIS software	Annual subscription
Greendesk	\$3,780	Leisure Centres	Swim school	Annual subscription
GoCanvas	\$3,754	Operations	Online forms used by JEM mobile app	Annual subscription
15 Visio Online Plan 2 subscriptions	\$3,588	Various	Generic program for documenting processes.	Microsoft CSP agreement. Monthly subscription.
Envisionware	\$3,302	Libraries	Library PC booking system	Annual support
Envisionware	\$3,272	Libraries	Print management	Annual subscription
Autoturn	\$2,820	Civil Design	Vehicle swept path analysis software	Annual subscription
NAMS	\$2,777	Infrastructure Services	IPWEA subscription service	Annual subscription
Links Modular Solutions – Active Carrot	\$2,602	Leisure Centres	Website part of Leisure Centre's website	Annual subscription
WINVaccs	\$2,389	Env Health	Vaccination	Annual Subscription
I'm Alert – Food Safety	\$2,000	Env Health	Food safety training for businesses	Annual Subscription
FME	\$2,000	Information Technology	Spatial database maintenance	Annual support
4 Photoshop CC	\$1,997	Marketing	Graphic design tool	Annual subscription
ESRI ArcGIS	\$1,930	Urban design	GIS software	Annual support
Mailchimp	\$1,752	Leisure Centres	Electronic Newsletter	Monthly subscription
Adobe Creative Cloud	\$1,576	Landscaping	Drawing / design	Annual subscription
Sendgrid	\$1,548	Information Technology (Corporate system)	Facility for sending bulk emails	Annual subscription paid in monthly instalments
Echo	\$1,500	Waste Services	VEOLIA Recycling integration	n/a
Advanced Fusion	\$1,485	Leisure Centres	Signage	Annual subscription

Native Instruments KOMplete 14	\$1,226	Com Dev (Youth)	Youth Centre recording studio	n/a
Kapish Easy Link	\$924	Information Technology	Creates URL references for documents within the Records system	Annual support
ADManager Plus	\$889	Information Technology	Security add-on to the Microsoft Active Directory security system	Annual subscription
Cohera tech	\$806	Libraries	People counter	Annual subscription
5 PowerApps per app plans	\$720	Information Technology	Used for creating Apps in the Microsoft environment.	Microsoft CSP agreement. Monthly subscription.
AutoCAD LT	\$630	Cultural Services Admin	CAD software for capital works design	n/a
Ablebits	\$538	Community Safety	Email templates	Annual subscription
Landgate Geospatial datasets	\$524	Information Technology (Corporate system)	City land information	Annual subscription
Landgate Online	\$524	Information Technology (Corporate system)	Online land information from Landgate	Annual subscription
Microsoft Teams Room subscription	\$508	Conference Room 1	For CR1 AV system	Annual subscription
Indesign CC for Teamer	\$499	Marketing	Graphic design tool	Annual subscription
Passwordstate	\$490	Information Technology	Secure password management tool	Annual subscription
Mentimeter Pro	\$459	Policy (SOD)	Consultation tool	Annual subscription
2 Kofax Power PDF 5	\$441	Audit & Risk	PDF editing	Annual support \$72
Filezilla Pro	\$396	Information Technology	To backup Firewall config files	3-year subscription
Sketchup Pro	\$391	Landscaping	CAD software for capital works design	Annual subscription
Sketchup Pro	\$391	Building Admin	CAD software for capital works design	Annual subscription
Objective Redact	\$328	Records	Electronic redaction software	Annual subscription
LearnDash	\$309	HR	Online learning software (induction program)	Annual subscription
Click Studio	\$301	Information Technology	Web development	Annual subscription
Kofax Power PDF 5	\$222	Infrastructure Services	PDF editor	Annual support \$37
Kofax Power PDF 5	\$222	Building Admin	PDF editing	Annual support \$37
Kofax Power PDF 5	\$219	City Projects	PDF editing	Annual support \$36

Kofax Power PDF 5	\$216	Cultural Services Admin	PDF editing	Annual support \$39
Kofax Power PDF 5	\$216	Waste Services	PDF editing	Annual support \$36
Kofax Power PDF 5	\$216	Landscaping	PDF editing	Annual support \$36
Kofax Power PDF 5	\$208	Cultural Services Admin	PDF editing	Annual support \$38
Kofax Power PDF 5	\$208	Urban design	PDF editing	Annual support \$38
Kofax Power PDF 5	\$201	Rec Services Admin	PDF editing	Annual support \$33
Acrobat Standard	\$200	Marketing	Graphic design tool	Annual subscription
VENNGAGE.COM	\$148	Libraries	Infographics	Annual subscription
Gravity Forms	\$142	Information Technology	Online forms for Website	Annual subscription
Vet CBARG	\$81	Community Safety	Online canine behavioral assessment	Annual subscription
Snagit	\$81	Landscaping	Screen capture software	One-off price
Microsoft Windows 10	n/a	Everybody	Base operating system	Pre-installed on all PCs. Part of purchase price.

BI-ANNUAL FIGURES FOR CONTRACT EXTENSIONS  
1 JULY 2023 TO 31 DECEMBER 2023

RFT NO.	TITLE	CONTRACTOR	CONTRACT TERM & EXTENSION OPTIONS	COUNCIL APPROVED			INITIAL PERIOD		FIRST EXTENSION		SECOND EXTENSION		CUMULATIVE CONTRACT COST	EXTENSIONS APPROVED BY THE CEO DURING THE PERIOD
				From	To	Total Cost	Expiry Date	Cost	From / To	Cost / Estimate	From / To	Cost / Estimate		
021/22	Extract/Transport Sand Sorrento - Hillarys	MMM (WA) Pty Ltd	1 year plus 1 x 1 year option to extend	7-Sep-22	6-Sep-23	\$259,983.30	6-Sep-23	\$278,117.01	7 Sep 23 to 6 Sep 24	\$266,483.00				First extension (one extension only)
002/21	Provision of Median and Verge Mowing to Nominated Locations in Zone 1 (North)	PROFOUNDER TURFMASTER PTY LTD	3 years plus 2 x 1 year options to extend	27-Apr-21	26-Apr-24	\$585,696	26-Apr-24	\$511,935	27 Apr 24 to 26 Apr 25	\$513,000				First extension
	Provision of Median and Verge Mowing to Nominated Locations in Zone 3 (South)	PROFOUNDER TURFMASTER PTY LTD				\$356,634		\$153,144						First extension
	Provision of Median and Verge Mowing to Nominated Locations in Zone 2 (Central)	LAWN DOCTOR				\$464,266		\$463,593						First extension

Home (/) / Compliance Audit Return (/CAR/) / Compliance Audit Return Form

# Compliance Audit Return Form

Start ✓
Details ✓
Commercial Enterprises ✓
Delegation ✓
Disclosure of Interest ✓
Disposal of Property ✓
Elections ✓
Finance ✓
IPR ✓
Employees ✓
Conduct ✓
Other ✓
Tenders ✓
Documents ✓
Review

Finalise

Print

## Details

Local Government

Joondalup, City of

Created By

Peter McGuckin

Year of Return

2023

Status  
Draft

# Commercial Enterprises by Local Governments

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1. Has the local government prepared a business plan for each major trading undertaking that was not exempt in 2023? \*

N/A

☐ Add comments

—

2. Has the local government prepared a business plan for each major land transaction that was not exempt in 2023? \*

N/A

☐ Add comments

—

3. Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in 2023? \*

N/A

☐ Add comments

—

4. Has the local government complied with public notice and publishing requirements for each proposal to commence a major trading undertaking or enter into a major land transaction or a land transaction that is preparatory to a major land transaction for 2023? \*

N/A

☐ Add comments

—



5. During 2023, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority? \*

N/A

☐ Add comments

—

## Delegation of Power/Duty

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1. Were all delegations to committees resolved by absolute majority? \*

N/A

☒ Add comments

Please enter comments \*

No delegations were made to Committees.

2. Were all delegations to committees in writing? \*

N/A

☒ Add comments

Please enter comments \*

No delegations were made to Committees.

3. Were all delegations to committees within the limits specified in section 5.17 of the Local Government Act 1995? \*

N/A

☒ Add comments

Please enter comments \*

No delegations were made to Committees.

4. Were all delegations to committees recorded in a register of delegations? \*

N/A

☒ Add comments

**Please enter comments \***

No delegations were made to Committees.

**5. Has council reviewed delegations to its committees in the 2022/2023 financial year? \***

N/A

☒ **Add comments****Please enter comments \***

No delegations were made to Committees.

**6. Did the powers and duties delegated to the CEO exclude those listed in section 5.43 of the Local Government Act 1995? \***

Yes

☒ **Add comments****Please enter comments \***

All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 27 June 2023 (CJ096-06/23 refers).

**7. Were all delegations to the CEO resolved by an absolute majority? \***

Yes

☒ **Add comments****Please enter comments \***

All delegations to the CEO were made by an Absolute Majority. Council reviewed its delegations at its meeting held on 27 June 2023 (CJ096-06/23 refers).

**8. Were all delegations to the CEO in writing? \***

Yes

☒ **Add comments****Please enter comments \***

All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 27 June 2023 (CJ096-06/23 refers).

**9. Were all delegations by the CEO to any employee in writing? \***

Yes

☒ **Add comments****Please enter comments \***

The CEO reviewed delegations to employees on 29 August 2023. All delegations by the CEO to other employees were made in writing.

**10. Were all decisions by the Council to amend or revoke a delegation made by absolute majority? \***

Yes

☒ **Add comments****Please enter comments \***

Council reviewed its delegations at its meeting held on 27 June 2023 (CJ096-06/23 refers). All delegations, including the annual review that amended or revoked a previous delegation were made by an Absolute Majority.

**11. Has the CEO kept a register of all delegations made under Division 4 of the Act to the CEO and to employees? \***

Yes

☒ **Add comments****Please enter comments \***

A register of Delegation of Authority is kept and made publicly available on the City's website.

**12. Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2022/2023 financial year? \***

No

☒ **Add comments****Please enter comments \***

Council reviewed its delegations within the financial year at its meeting held on 27 June 2023 (CJ096-06/23 refers). The CEO reviewed his delegations on 29 August 2023. The reason being, there was a major review undertaken of delegations and there were significant changes. The CEO conducted a review after the Council had adopted its changes.

**13. Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record in accordance with Local Government (Administration) Regulations 1996, regulation 19? \***

Yes

☒ **Add comments**

**Please enter comments \***

There is a requirement for all persons exercising a delegated power or duty to record in writing all decisions made or actions taken under delegated authority and retain on the corporate record keeping system.

## Disclosure of Interest

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**1. Where a council member disclosed an interest in a matter and did not have participation approval under sections 5.68 or 5.69 of the Local Government Act 1995, did the council member ensure that they did not remain present to participate in discussion or decision making relating to the matter? \***

Yes

☒ **Add comments**

**Please enter comments \***

All members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation approvals granted under s5.68.

**2. Were all decisions regarding participation approval, including the extent of participation allowed and, where relevant, the information required by the Local Government (Administration) Regulations 1996 regulation 21A, recorded in the minutes of the relevant council or committee meeting? \***

Yes

☒ **Add comments**

**Please enter comments \***

All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting.

**3. Were disclosures under sections 5.65, 5.70 or 5.71A(3) of the Local Government Act 1995 recorded in the minutes of the meeting at which the disclosures were made? \***

Yes

☒ **Add comments**

**Please enter comments \***

All disclosures are recorded in the minutes of the relevant meeting.

**4. Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day? \***

Yes

☒ **Add comments**

**Please enter comments \***

All primary returns were lodged within three months of the relevant persons start date.

**5. Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2023? \***

No

☒ **Add comments****Please enter comments \***

There were four items of non-compliance where an employee failed to lodge their Annual Return by 31 August 2023. The matter has been investigated and reported to the Corruption and Crime Commission. Pursuant to section 33(1)(d) of the Corruption, Crime and Misconduct Act 2003, the Commission decided to take no action.

**6. On receipt of a primary or annual return, did the CEO, or the Mayor/President, give written acknowledgment of having received the return? \***

Yes

☒ **Add comments****Please enter comments \***

The receipt of all primary and annual returns was formally acknowledged in writing.

**7. Did the CEO keep a register of financial interests which contained the returns lodged under sections 5.75 and 5.76 of the Local Government Act 1995? \***

Yes

☒ **Add comments****Please enter comments \***

A Register of Financial Interests is maintained by the City and published on the City's website.

**8. Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70, 5.71 and 5.71A of the Local Government Act 1995, in the form prescribed in the Local Government (Administration) Regulations 1996, regulation 28? \***

Yes

☒ **Add comments****Please enter comments \***

A Register of Financial Interests is maintained by the City and published on the City's website.

**9. When a person ceased to be a person required to lodge a return under sections 5.75 and 5.76 of the Local Government Act 1995, did the CEO remove from the register all returns relating to that person? \***

Yes

☒ **Add comments**

**Please enter comments \***

All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person.

**10. Have all returns removed from the register in accordance with section 5.88(3) of the Local Government Act 1995 been kept for a period of at least five years after the person who lodged the return(s) ceased to be a person required to lodge a return? \***

Yes

☒ **Add comments**

**Please enter comments \***

All returns removed from the Register are retained for a further five years in a separate register.

**11. Did the CEO keep a register of gifts which contained a record of disclosures made under sections 5.87A and 5.87B of the Local Government Act 1995, in the form prescribed in the Local Government (Administration) Regulations 1996, regulation 28A? \***

Yes

☒ **Add comments**

**Please enter comments \***

The gifts register is maintained in the form required by the Act.

**12. Did the CEO publish an up-to-date version of the gift register on the local government's website? \***

Yes

☒ **Add comments**

**Please enter comments \***

The gifts register is updated and published to the City's website on a regular basis.

**13. When people cease to be a person who is required to make a disclosure under section 5.87A or 5.87B of the Local Government Act 1995, did the CEO remove from the register all records relating to those people? \***

Yes

☐ **Add comments**

---

**14. Have copies of all records removed from the register under section 5.89A(6) of the Local Government Act 1995 been kept for a period of at least five years after the person ceases to be a person required to make a disclosure? \***

Yes

☐ Add comments

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**15. Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report? \***

Yes

☒ Add comments

**Please enter comments \***

All disclosures of employees are recorded in the minutes of the relevant meeting.

**16. Where council applied to the Minister to allow the CEO to provide advice or a report to which a disclosure under section 5.71A(1) of the Local Government Act 1995 relates, did the application include details of the nature of the interest disclosed and any other information required by the Minister for the purposes of the application? \***

N/A

☒ Add comments

**Please enter comments \***

The Council did not apply to the Minister to allow the CEO to provide advice or a report to which a disclosure had been made.

**17. Was any decision made by the Minister under section 5.71B(6) of the Local Government Act 1995, recorded in the minutes of the council meeting at which the decision was considered? \***

N/A

☒ Add comments

**Please enter comments \***

The Council did not apply to the Minister to allow the CEO to provide advice or a report to which a disclosure had been made.

**18. Did the local government prepare and adopt, by absolute majority, a code of conduct to be observed by council members, committee members and candidates that incorporates the model code of conduct? \***

Yes

☒ **Add comments****Please enter comments \***

The Code of Conduct for Council Members, Committee Members and Candidates was adopted by Council at its meeting held on 18 May 2021 (CJ071-05/21 refers).

**19. Did the local government adopt additional requirements in addition to the model code of conduct? \***

No

☐ **Add comments**

—

**20. Has the CEO published an up-to-date version of the code of conduct for council members, committee members and candidates on the local government's website? \***

Yes

☒ **Add comments****Please enter comments \***

The Code of Conduct for Council Members, Committee Members and Candidates was adopted by Council at its meeting held on 18 May 2021 (CJ071-05/21 refers). An up-to-date version is published to the City's website.

**21. Has the CEO prepared and implemented a code of conduct to be observed by employees of the local government? \***

Yes

☒ **Add comments****Please enter comments \***

A Code of Conduct for Employees was prepared by the CEO at the Executive Leadership Team meeting held on 14 June 2021, and updated in May 2022. An up-to-date version is published on the City's website.



**21a. Has the CEO published an up-to-date version of the code of conduct for employees on the local government's website? \***

Yes

## Disposal of Property

**1. Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) of the Local Government Act 1995 (unless section 3.58(5) applies)? \***

Yes

☒ **Add comments**

**Please enter comments \***

The City advertised on 30 November 2023 for the disposal of property for a portion of land (302m2) containing public parking bays and pedestrian access areas at 6 Lawley Court, Joondalup.

**2. Where the local government disposed of property under section 3.58(3) of the Local Government Act 1995, did it provide details, as prescribed by section 3.58(4) in the required local public notice for each disposal of property? \***

Yes

☒ **Add comments**

**Please enter comments \***

The City provided details within the advertisement of concerned parties, the permitted purpose and proposed term of the lease, market valuation amount and date and proposed rent to be received.

## Elections

**1. Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the forms relating to each candidate in accordance with regulation 30G(1) and regulation 30G(2) of the Local Government (Elections) Regulations 1997? \***

Yes

☒ **Add comments**

**Please enter comments \***

The register and gift declaration forms are maintained by the Manager Governance.

**2. Did the CEO remove any disclosure of gifts forms relating to unsuccessful candidates, or successful candidates that completed their term of office, from the electoral gift register, and retain those forms separately for a period of at least two years in accordance with regulation 30G(4) of the Local Government (Elections) Regulations 1997? \***

Yes

☒ **Add comments**

**Please enter comments \***

All electoral gift forms are retained in the City's Record Keeping System and disposed of in accordance with legislative requirements.

**3. Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with regulation 30G(5) of the Local Government (Elections) Regulations 1997? \***

Yes

☒ **Add comments****Please enter comments \***

An up-to-date version of the electoral gift register is available on the City's website. Note: there were no gift declarations in relation to the 2023 Local Government Election.

## Finance

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**1. Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Local Government Act 1995? \***

Yes

☒ **Add comments****Please enter comments \***

At its meeting held on 6 November 2023 (CJ213-11/23 refers) Council, by an Absolute Majority, established the Audit and Risk Committee and appointed members and deputy members to that Committee.

**2. Where the council delegated to its audit committee any powers or duties under Part 7 of the Local Government Act 1995, did it do so by absolute majority? \***

N/A

☒ **Add comments****Please enter comments \***

No delegations were made to the Audit and Risk Committee.

**3. Was the auditor's report for the financial year ended 30 June 2023 received by the local government by 31 December 2023? \***

Yes

☒ **Add comments**

**Please enter comments \***

Received on 1 December 2023.

**4. Where the local government determined that matters raised in the auditor's report prepared under section 7.9(1) of the Local Government Act 1995 required action to be taken, did the local government ensure that appropriate action was undertaken in respect of those matters? \***

N/A

☒ **Add comments**

**Please enter comments \***

No such matters raised.

**5. Where matters identified as significant were reported in the auditor's report, did the local government prepare a report that stated what action the local government had taken or intended to take with respect to each of those matters? Was a copy of the report given to the Minister within three months of the audit report being received by the local government? \***

N/A

☒ **Add comments**

**Please enter comments \***

No such matters raised.

**6. Within 14 days after the local government gave a report to the Minister under section 7.12A(4)(b) of the Local Government Act 1995, did the CEO publish a copy of the report on the local government's official website? \***

N/A

☐ **Add comments**

—

**7. Was the auditor's report for the financial year ending 30 June 2023 received by the local government within 30 days of completion of the audit? \***

Yes

☐ **Add comments**

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## Integrated Planning and Reporting

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1. Has the local government adopted by absolute majority a strategic community plan? \*

Yes

☒ Add comments

Please provide the adoption date or the date of the most recent review \*

28/06/2022

Please enter comments \*

The Strategic Community Plan (Joondalup 2032) was adopted by Council on 28 June 2022 (CJ093-06/22 refers).

2. Has the local government adopted by absolute majority a corporate business plan? \*

Yes

☒ Add comments

Please provide the adoption date or the date of the most recent review \*

27/06/2023

Please enter comments \*

The City's Corporate Business Plan 2023-2027 was adopted by Council on 27 June 2023 (CJ093-06/23 refers).

3. Does the corporate business plan comply with the requirements of Local Government (Administration) Regulations 1996 19DA(2) & (3)? \*

Yes

☐ Add comments

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## Local Government Employees

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**1. Were all CEO and/or senior employee vacancies advertised in accordance with Local Government (Administration) Regulations 1996, regulation 18A? \***

N/A

☒ **Add comments**

**Please enter comments \***

No vacancies during the period.

**2. Was all information provided in applications for the position of CEO true and accurate? \***

N/A

☐ **Add comments**

—

**3. Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position under section 5.36(4) of the Local Government Act 1995? \***

N/A

☐ **Add comments**

—

**4. Did the CEO inform council of each proposal to employ or dismiss senior employee? \***

Yes

☒ **Add comments**

**Please enter comments \***

Council was informed at Council meeting 12 December 2023 (CJ290-12/23 refers) that the employment contract of the Director Governance and Strategy was being renewed for a further five year period from 21 April 2024.

**5. Where council rejected a CEO's recommendation to employ or dismiss a senior employee, did it inform the CEO of the reasons for doing so? \***

N/A

☐ **Add comments**

—

## Official Conduct

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1. Has the local government designated an employee to be its complaints officer? \*

Yes

☐ Add comments

—

2. Has the complaints officer for the local government maintained a register of complaints which records all complaints that resulted in a finding under section 5.110(2)(a) of the Local Government Act 1995? \*

Yes

☐ Add comments

—

3. Does the complaints register include all information required by section 5.121(2) of the Local Government Act 1995? \*

Yes

☐ Add comments

—

4. Has the CEO published an up-to-date version of the register of the complaints on the local government's official website? \*

Yes

☐ Add comments

—

## Other

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**1. Did the CEO review the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with the Local Government (Financial Management) Regulations 1996 regulations 5(2) (c) within the three financial years prior to 31 December 2023?**

Yes

☒ **Add comments**

**Please provide the date of council's resolution to accept the report. \***

19/09/2023

**Please enter comments \***

At its meeting held on 19 September 2023 (13.2.2 refers)

**2. Did the CEO review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Local Government (Audit) Regulations 1996 regulation 17 within the three financial years prior to 31 December 2023?**

Yes

☒ **Add comments**

**Please provide the date of council's resolution to accept the report. \***

19/09/2023

**Please enter comments \***

At its meeting held on 19 September 2023 (13.2.1 refers)

**3. Where a disclosure was made under sections 5.87A or 5.87B of the Local Government Act 1995, were the disclosures made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C of the Act?**

Yes

☒ **Add comments**

**Please enter comments \***

All disclosures were made within 10 days and include the information required by section 5.87C of the Act.

**4. Did the local government prepare, adopt by absolute majority and publish an up-to-date version on the local government's website, a policy dealing with the attendance of council members and the CEO at events?**

Yes

☒ **Add comments**

**Please enter comments \***

An Attendance at Events Policy was adopted by Council on 19 May 2020 (CJ067-05/20 refers).

**5. Did the CEO publish information on the local government's website in accordance with sections 5.96A(1), (2), (3), and (4) of the Local Government Act 1995?**

Yes

☒ **Add comments**

**Please enter comments \***

All information is on the City's website that is required to be published.

**6. Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members?**

Yes

☒ **Add comments**

**Please enter comments \***

The Council has adopted an Elected Members' Entitlements Policy, which contains matters in relation to the continuing professional development of elected members. The Policy was last reviewed by Council on 17 May 2022 (CJ077-05/22 refers) and adopted by an Absolute Majority.

**7. Did the local government prepare a report on the training completed by council members in the 2022/2023 financial year and publish it on the local government's official website by 31 July 2023?**

Yes

☒ **Add comments**

**OQ-CouncilMemberTrainingPublishComments \***

Council received a report at its meeting held on 25 July 2023 (CJ115-07/23 refers). The report is available on the City's website and was published before 31 July 2023.

**8. By 30 September 2023, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June 2023?**

Yes

☒ **Add comments**



Please enter comments \*

Submitted to the Office of the Auditor General on 28 September 2023.

**9. When adopting the annual budget, did the local government take into account all its expenditure, revenue and income?**

Yes

☐ Add comments

—

## Tenders for Providing Goods and Services

**1. Did the local government comply with its current purchasing policy, adopted under the Local Government (Functions and General) Regulations 1996, regulations 11A(1) and (3) in relation to the supply of goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less? \***

Yes

☐ Add comments

—

**2. Subject to Local Government (Functions and General) Regulations 1996, regulation 11(2), did the local government invite tenders for all contracts for the supply of goods or services where the consideration under the contract was, or was expected to be, worth more than the consideration stated in regulation 11(1) of the Regulations? \***

Yes

☐ Add comments

—

**3. When regulations 11(1), 12(2) or 13 of the Local Government Functions and General) Regulations 1996, required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with Regulation 14(3) and (4)? \***

Yes

☐ Add comments

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**4. Did the local government comply with Local Government (Functions and General) Regulations 1996, Regulation 12 when deciding to enter into multiple contracts rather than a single contract? \***

Yes

☐ Add comments

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**5. If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer notice of the variation? \***

Yes

☐ Add comments

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**6. Did the local government's procedure for receiving and opening tenders comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 15 and 16? \***

Yes

☐ Add comments

---

**7. Did the information recorded in the local government's tender register comply with the requirements of the Local Government (Functions and General) Regulations 1996, Regulation 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website? \***

Yes

☐ Add comments

---

## ATTACHMENT 8.8.1

**8. Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender? \***

N/A

☒ **Add comments**

**Please enter comments \***

The Tenderlink electronic submission system automatically declines any attempts to submit tenders after the cut-off time specified in the tender.

**9. Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept? \***

Yes

☐ **Add comments**

—

**10. Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted? \***

Yes

☐ **Add comments**

—

**11. Did the local government's advertising and expression of interest processes comply with the requirements of the Local Government (Functions and General) Regulations 1996, Regulations 21 and 22? \***

Yes

☐ **Add comments**

—

**12. Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice? \***

N/A

☒ **Add comments**

**Please enter comments \***

The Tenderlink electronic submission system automatically declines any attempts to submit expressions of interest after the cut-off time specified in the tender.

**13. Were all expressions of interest that were not rejected under the Local Government (Functions and General) Regulations 1996, Regulation 23(1) & (2) assessed by the local government? Did the CEO list each person as an acceptable tenderer? \***

Yes

☐ Add comments

—

**14. Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with Local Government (Functions and General) Regulations 1996, Regulation 24? \***

Yes

☐ Add comments

—

**15. Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with Local Government (Functions and General) Regulations 1996, Regulations 24AD(4) and 24AE? \***

Yes

☐ Add comments

—

**16. If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application notice of the variation? \***

Yes

☐ Add comments

—

**17. Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application? \***

Yes

☐ Add comments

---

**18. Did the information recorded in the local government's tender register about panels of pre-qualified suppliers comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 24AG? \***

Yes

☐ Add comments

---

**19. Did the local government reject any applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time, specified in the invitation for applications? \***

N/A

☒ Add comments

**Please enter comments \***

The Tenderlink electronic submission system automatically declines any attempts to submit applications after the cut-off time specified in the tender.

**20. Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept? \***

Yes

☐ Add comments

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**21. Did the CEO send each applicant written notice advising them of the outcome of their application? \***

Yes

☐ Add comments

—

22. Where the local government gave regional price preference, did the local government comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 24E and 24F? \*

N/A

☐ Add comments

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# Documents

There are no notes to display.



## COMPLIANCE AUDIT RETURN | 2023 to 2019

COMMERCIAL ENTERPRISES BY LOCAL GOVERNMENTS						
Reference	Question	2023	2022	2021	2020	2019
s3.59(2)(a) F&G Regs 7,9,10	Has the local government prepared a business plan for each major trading undertaking that was not exempt in [the relevant year]?	N/A	Yes	Yes At its meeting held on 18 May 2021 (item CJ060-05/21 refers) for the proposed disposal of lots 1029 and 1032 Ocean Reef.	N/A	N/A
s3.59(2)(b) F&G Regs 7,8A, 8, 10	Has the local government prepared a business plan for each major land transaction that was not exempt in [the relevant year]?	N/A	N/A	Yes At its meeting held on 18 May 2021 (item CJ060-05/21 refers) for the proposed disposal of lots 1029 and 1032 Ocean Reef.	N/A	N/A
s3.59(2)(c) F&G Regs 7,8A, 8,10	Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in [the relevant year]?	N/A	N/A	Yes At its meeting held on 18 May 2021 (item CJ060-05/21 refers) for the proposed disposal of lots 1029 and 1032 Ocean Reef.	N/A	N/A
s3.59(4)	Has the local government complied with public notice and publishing requirements for each proposal to commence a major trading undertaking or enter into a major land transaction or a land transaction that is preparatory to a major land transaction for [the relevant year]?	N/A	N/A	Yes At its meeting held on 18 May 2021 (item CJ060-05/21 refers) for the proposed disposal of lots 1029 and 1032 Ocean Reef.	N/A	N/A
s3.59(5)	During [the relevant year], did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority?	N/A	N/A	Yes At its meeting held on 16 February 2021 (item CJ019-02/21 refers) for approval of the Ocean Reef Marina Business Plan.	N/A	N/A

DELEGATION OF POWER/DUTY							
Reference	Question	2023		2022		2021	
s5.16	Were all delegations to committees resolved by absolute majority?	N/A	No delegations were made to Committees	N/A	No Delegations were made to committees.	N/A	No Delegations were made to committees.
	Were all delegations to committees in writing?	N/A	No delegations were made to Committees	N/A	No Delegations were made to committees.	N/A	No Delegations were made to committees.
s5.17	Were all delegations to committees within the limits specified in section 5.17?	N/A	No delegations were made to Committees	N/A	No Delegations were made to committees.	N/A	No Delegations were made to committees.
s5.18	Were all delegations to committees recorded in a register of delegations?	N/A	No delegations were made to Committees	N/A	No Delegations were made to committees.	N/A	No Delegations were made to committees.
	Has council reviewed delegations to its committees in the [the relevant] financial year?	N/A	No delegations were made to Committees	N/A	No Delegations were made to committees.	N/A	No Delegations were made to committees.
s5.42(1) & s5.43 Admin Reg 18G	Did the powers and duties delegated to the CEO exclude those listed in section 5.43 of the Act?	Yes	All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 27 June 2023 (CJ096-06/23 refers).	Yes	All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 28 June 2022 (CJ092-06/22 refers).	Yes	All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers).
		Yes	All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers).	Yes	All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 25 June 2019 (CJ078-06/19 refers).		

DELEGATION OF POWER/DUTY							
Reference	Question	2023	2022	2021	2020	2019	
s5.42(1)	Were all delegations to the CEO resolved by an absolute majority?	Yes All delegations to the CEO were made by an Absolute Majority. Council reviewed its delegations at its meeting held on 27 June 2023 (CJ096-06/23 refers).	Yes All delegations to the CEO were made by Absolute Majority. Council reviewed its delegations at its meeting held on 28 June 2022 (CJ092-06/22 refers).	Yes All delegations to the CEO were made by Absolute Majority. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers).	Yes All delegations to the CEO were made by Absolute Majority. Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers).	Yes All delegations to the CEO were made by Absolute Majority. Council reviewed its delegations at its meeting held on 25 June 2019 (CJ078-06/19 refers).	
s5.42(2)	Were all delegations to the CEO in writing?	Yes All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 27 June 2023 (CJ096-06/23 refers).	Yes All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 28 June 2022 (CJ092-06/22 refers).	Yes All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers).	Yes All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers).	Yes All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 25 June 2019 (CJ078-06/19 refers).	
s5.44(2)	Were all delegations by the CEO to any employee in writing?	Yes The CEO reviewed delegations to employees on 29 August 2023. All delegations by the CEO to other employees were made in writing.	Yes The CEO reviewed delegations to employees on 10 May 2022. All delegations by the CEO to other employees were made in writing.	Yes The CEO reviewed delegations to employees on 10 May 2021. All delegations by the CEO to other employees were made in writing.	Yes The CEO reviewed delegations to employees on 21 May 2020 as retained in the City's record keeping system. All delegations by the CEO to other employees were made in writing.	Yes The CEO reviewed delegations to employees on 22 July 2019. All delegations by the CEO to other employees were made in writing.	
s5.16(3)(b) & s5.45(1)(b)	Were all decisions by the council to amend or revoke a delegation made by absolute majority?	Yes Council reviewed its delegations at its meeting held on 27 June 2023 (CJ096-06/23 refers). All delegations, including the annual review that amended or revoked a previous delegation were made by an Absolute Majority.	Yes Council reviewed its delegations at its meeting held on 28 June 2022 (CJ092-06/22 refers). All delegations, including the annual review that amended or revoked a previous delegation were made by Absolute Majority.	Yes Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers). All delegations, including the annual review that amended or revoked a previous delegation were made by Absolute Majority.	Yes Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers). All delegations, including the annual review, that amended or revoked a previous delegation were made by Absolute Majority.	Yes	
s5.46(1)	Has the CEO kept a register of all delegations made under Division 4 of the Act to the CEO and to employees?	Yes A register of Delegation of Authority is kept and made publicly available on the City's website.	Yes A register of Delegation of Authority is kept and made publicly available on the City's website.	Yes A register of Delegation of Authority is kept and made publicly available on the City's website.	Yes A Register of Delegation of Authority is kept and made publicly available on the City's website.	Yes A Register of Delegation of Authority is kept and made publicly available on the City's website.	
s5.46(2)	Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the [the relevant] financial year?	No Council reviewed its delegations within the financial year at its meeting held on 27 June 2023 (CJ096-06/23 refers). The CEO reviewed his delegations on 29 August 2023. The reason being, there was a major review undertaken of delegations and there were significant changes. The CEO conducted a review after the Council had adopted its changes.	Yes All delegations were reviewed by both Council and the CEO at least once during the 2021/22 financial year. The CEO reviewed his delegations on 10 May 2022. Council reviewed its delegations at its meeting held on 28 June 2022 (CJ092-06/22 refers).	Yes All delegations were reviewed by both Council and the CEO at least once during the 2020/2021 financial year. The CEO reviewed his delegations on 10 May 2021. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers).	Yes All delegations were reviewed by both Council and the CEO at least once during the 2019/2020 financial year. The CEO reviewed his delegations on the 21 May 2020 as retained in the City's record keeping system. Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers).	Yes All delegations were reviewed by both Council and the CEO at least once during the 2018/2019 financial year. The CEO reviewed his delegations on the 22 July 2019. Council reviewed its delegations at its meeting held on 25 June 2019 (CJ078-06/19 refers).	
s5.46(3) Admin Reg 19	Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record in accordance with Admin Reg 19?	Yes There is a requirement for all persons exercising a delegated power or duty to record in writing all decisions made or actions taken under delegated authority and retain on the corporate record keeping system.	Yes There is a requirement for all persons exercising a delegated power or duty to record in writing all decisions made or actions taken under delegated authority and retain on the corporate record keeping systems.	Yes All decisions made or actions taken under delegated authority are recorded in writing and retained on the corporate record keeping systems.	Yes All decisions made or actions taken under delegated authority are recorded in writing and retained in the City's record keeping system.	Yes All decisions made or actions taken under delegated authority are recorded in writing and retained on the corporate record keeping systems.	



DISCLOSURE OF INTEREST							
Reference	Question	2023	2022	2021	2020	2019	
s5.67	Where a council member disclosed an interest in a matter and did not have participation approval under sections 5.68 or 5.69, did the council member ensure that they did not remain present to participate in discussion or decision making relating to the matter?	Yes All members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation approvals granted under s5.68.	Yes All members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation approvals granted under s5.68.	Yes All members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation approvals granted under s5.68.	Yes All members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation approvals granted under s5.68.		
	If a member disclosed an interest, did he/she ensure that they did not remain present to participate in any discussion or decision-making procedure relating to the matter in which the interest was disclosed (not including participation approvals granted under s5.68)?					Yes All members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation in approvals granted under s5.68.	
s5.68(2) & s5.69(5) Admin Reg 21A	Were all decisions regarding participation approval, including the extent of participation allowed and, where relevant, the information required by Admin Reg 21A, recorded in the minutes of the relevant council or committee meeting?	Yes All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting.	Yes All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting.	Yes All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting.	Yes All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting.		
	Were all decisions made under section 5.68(1), and the extent of participation allowed, recorded in the minutes of Council and Committee meetings?					Yes All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting.	
s5.73	Were disclosures under section sections 5.65, 5.70 or 5.71A(3) recorded in the minutes of the meeting at which the disclosures were made?	Yes All disclosures are recorded in the minutes of the relevant meeting.	Yes All disclosures are recorded in the minutes of the relevant meeting.	Yes All disclosures are recorded in the minutes of the relevant meeting.	Yes All disclosures are recorded in the minutes of the relevant meeting.	Yes All disclosures are recorded in the minutes of the relevant meeting.	Yes All disclosures are recorded in the minutes of the relevant meeting.
	Where the CEO had an interest relating to a gift under section 5.71A(1), was written notice given to the Council?						N/A
	Where the CEO had an interest relating to a gift in a matter in respect of a report another employee is providing advice on under section 5.71A (3), was the nature of interest disclosed when the advice or report was provided?						N/A
s5.75 Admin Reg 22, Form 2	Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day?	Yes All primary returns were lodged within three months of the relevant persons start date.	Yes All primary returns were lodged within three months of the relevant persons start date.	Yes All primary returns were lodged within three months of relevant person's start date.	Yes All primary returns were lodged within three months of relevant persons start date.	Yes There were two newly elected members in 2019, Cr Raftis and Cr Thompson, both completed their Primary Return within three months of their start date.	

DISCLOSURE OF INTEREST						
Reference	Question	2023	2022	2021	2020	2019
s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly designated employees within three months of their start day?					No An oversight of the City's governance processes failed to identify two newly designated employees which resulted in requests for the submission of a primary return being issued to them late. One employee was acting in a designated employee position and received the request for a primary return after their designated period had ended. The employee lodged the primary return on the same day the request was issued. The other employee received the request for a primary return five months after commencement and lodged the primary return within two months of the request.
s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August [the relevant year]?					Yes All Elected Members lodged their Annual Return by 31 August 2019.
s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August [the relevant year]?					Yes All designated employees lodged their Annual Return by 31 August 2019.
s5.76 Admin Reg 23, Form 3	Was an annual return in the prescribed form lodged by all relevant persons by 31 August [the relevant year]?	No There were four items of non-compliance where an employee failed to lodge their Annual Return by 31 August 2023. The matter has been investigated and reported to the Corruption and Crime Commission. Pursuant to section 33(1)(d) of the Corruption, Crime and Misconduct Act 2003, the Commission decided to take no action.	Yes All annual returns were lodged by all relevant persons by 31 August 2022.	No One employee failed to lodge an annual return by 31 August 2021. The employee was on extended personal leave since 31 August 2020 and during this their position was made redundant. The employee ceased employment with the City on 22 July 2021.	Yes All annual returns were lodged by relevant persons by 31 August 2020.	
s5.77	On receipt of a primary or annual return, did the CEO, or the mayor/president, give written acknowledgment of having received the return?	Yes The receipt of all primary and annual returns was formally acknowledged in writing.	Yes The receipt of all primary and annual returns was formally acknowledged in writing.	Yes The receipt of all Primary and Annual Returns were formally acknowledged in writing.	Yes The receipt of all Primary and Annual Returns was formally acknowledged in writing.	Yes The receipt of all Primary and Annual Returns was formally acknowledged in writing.
s5.88(1) & (2)(a)	Did the CEO keep a register of financial interests which contained the returns lodged under sections 5.75 and 5.76?	Yes A Register of Financial Interests is maintained by the City and published on the City's website.	Yes A Register of Financial Interests is maintained by the City.	Yes A Register of Financial Interests is maintained by the City.	Yes A Register of Financial Interests is maintained by the City.	Yes A Register of Financial Interests is maintained by the City.
s5.88(1) & (2)(b) Admin Reg 28	Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70, 5.71 and 5.71A, in the form prescribed in Admin Reg 28?	Yes A Register of Financial Interests is maintained by the City and published on the City's website.	Yes A Register of Financial Interests is maintained by the City.	Yes A Register of Financial Interests is maintained by the City.	Yes A Register of Financial Interests is maintained by the City.	Yes A Register of Financial Interests is maintained by the City.
s5.89A Admin Reg 28A	Did the CEO keep a register of gifts which contained a record of disclosures made under section 5.71A, in the form prescribed in Administration Regulation 28A?					Yes

DISCLOSURE OF INTEREST						
Reference	Question	2023	2022	2021	2020	2019
s5.88(3)	When a person ceased to be a person required to lodge a return under sections 5.75 and 5.76, did the CEO remove from the register all returns relating to that person?	Yes All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person.	Yes All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person.	Yes All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person.	Yes All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person.	
	Has the CEO removed all returns from the register when a person ceased to be a person required to lodge a return under section 5.75 or 5.76?					Yes All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person.
s5.88(4)	Have all returns removed from the register in accordance with section 5.88(3) been kept for a period of at least five years after the person who lodged the return(s) ceased to be a person required to lodge a return?	Yes All returns removed from the Register are retained for a further five years in a separate register.	Yes All returns removed from the Register are retained for a further five years in a separate register.	Yes All returns removed from the Register are retained for a further five years in a separate register.	Yes All returns removed from the Register are retained for a further five years in a separate register.	
	Have all returns lodged under section 5.75 or 5.76 and removed from the register, been kept for a period of at least five years, after the person who lodged the return ceased to be a council member or designated employee?					Yes All returns removed from the Register are retained for a further five years in a separate register.
s5.89A(1), (2) & (3) Admin Reg 28A	Did the CEO keep a register of gifts which contained a record of disclosures made under sections 5.87A and 5.87B, in the form prescribed in Admin Reg 28A?	Yes The gifts register is maintained in the form required by the Act.	Yes	Yes	Yes	
s5.89A(5) & (5A)	Did the CEO publish an up-to-date version of the gift register on the local government's website?	Yes The gifts register is updated and published to the City's website on a regular basis.	Yes	Yes	Yes	
s5.89A(6)	When a person ceases to be a person who is required to make a disclosure under section 5.87A or 5.87B, did the CEO remove from the register all records relating to that person?	Yes	Yes	Yes	Yes	
s5.89A(7)	Have copies of all records removed from the register under section 5.89A(6) been kept for a period of at least five years after the person ceases to be a person required to make a disclosure?	Yes	Yes	Yes	Yes Copies of records removed from the register are maintained in the City's record keeping system.	
Rules of Conduct Reg 11(1), (2) & (4)	Where a council member had an interest that could, or could reasonably be perceived to, adversely affect the impartiality of the person, did they disclose the interest in accordance with Rules of Conduct Reg 11(2)?*  *Question not applicable after 2 Feb 2021			Yes All disclosures adversely affecting the impartiality of the council member were disclosed and recorded.	Yes All disclosures adversely affecting the impartiality of the council member were disclosed and recorded.	
Rules of Conduct Reg 11(6)	Where a council member disclosed an interest under Rules of Conduct Reg 11(2) was the nature of the interest recorded in the minutes?*			Yes All disclosures are recorded in the minutes of the relevant meeting.	Yes All disclosures are recorded in the minutes of the relevant meeting.	
s5.70(2) & (3)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report?	Yes All disclosures of employees are recorded in the minutes of the relevant meeting.	Yes All disclosures of employees are recorded in the minutes of the relevant meeting.	Yes All disclosures of employees are recorded in the minutes of the relevant meeting.	Yes All disclosures of employees are recorded in the minutes of the relevant meeting.	Yes All disclosures include the nature of the interest to be declared.

DISCLOSURE OF INTEREST									
Reference	Question	2023		2022		2021		2020	2019
s5.71A & s5.71B(5)	Where council applied to the Minister to allow the CEO to provide advice or a report to which a disclosure under s5.71A(1) relates, did the application include details of the nature of the interest disclosed and any other information required by the Minister for the purposes of the application?	N/A	The Council did not apply to the Minister to allow the CEO to provide advice or a report to which a disclosure had been made.	N/A	The Council did not apply to the Minister to allow the CEO to provide advice or a report to which a disclosure had been made.	N/A		N/A	
s5.71B(6) & s5.71B(7)	Was any decision made by the Minister under subsection 5.71B(6) recorded in the minutes of the council meeting at which the decision was considered?	N/A	The Council did not apply to the Minister to allow the CEO to provide advice or a report to which a disclosure had been made.	N/A	The Council did not apply to the Minister to allow the CEO to provide advice or a report to which a disclosure had been made.	N/A		N/A	
s5.103 Admin Regs 34B & 34C	Has the local government adopted a code of conduct in accordance with Admin Regs 34B and 34C to be observed by council members, committee members and employees?*					Yes The Code of Conduct was adopted by Council on 18 May 2021 (CJ071-05/21 refers).	Yes The Code of Conduct was adopted by Council at its meeting held on 15 May 2018 (CJ076-05/18 refers).		
	*Question not applicable after 2 Feb 2021								
s5.103(3) Admin Reg 34B	Has the CEO kept a register of all notifiable gifts received by Council members and employees?								Yes
s5.103 Admin Reg 34C & Rules of Conduct Reg 11	Where an elected member or an employee disclosed an interest in a matter discussed at a Council or committee meeting where there was a reasonable belief that the impartiality of the person having the interest would be adversely affected, was it recorded in the minutes?								Yes All disclosures are recorded in the minutes of the relevant meeting.
Admin Reg 34B(5)	Has the CEO kept a register of notifiable gifts in accordance with Admin Reg 34B(5)?*					Yes	Yes		
	*Question not applicable after 2 Feb 2021								
s5.104(1)	Did the local government prepare and adopt, by absolute majority, a code of conduct to be observed by council members, committee members and candidates within 3 months of the prescribed model code of conduct coming into operation (3 February 2021)?	Yes	The Code of Conduct for Council Members, Committee Members and Candidates was adopted by Council at its meeting held on 18 May 2021 (CJ071-05/21 refers).	No	The Code of Conduct for council members, committee members and candidates was adopted by Council on 18 May 2021 (CJ071-05/21 refers).	No The draft Code of Conduct for council members, committee members and candidates was provided to elected members at Strategy Sessions on 2 March 2021 and 6 April 2021 for feedback; and adopted by Council on 18 May 2021 (CJ071-05/21 refers).			
s5.104(3) & (4)	Did the local government adopt additional requirements in addition to the model code of conduct? If yes, does it comply with section 5.104(3) and (4)?	No		No		No Not applicable.			
s5.104(7)	Did the CEO publish an up-to-date version of the adopted code of conduct on the local government’s website?	Yes	The Code of Conduct for Council Members, Committee Members and Candidates was adopted by Council at its meeting held on 18 May 2021 (CJ071-05/21 refers). An up-to-date version is published to the City's website.	Yes	The Code of Conduct for employees was updated in May 2022 to include changes to part 19(5). An up-to-date version is published on the City's website.	Yes The Code of Conduct for council members, committee members and candidates is published on the City's website.			
s5.51A(1) & (3)	Did the CEO prepare, and implement and publish an up-to-date version on the local government’s website, a code of conduct to be observed by employees of the local government?	Yes	A Code of Conduct for Employees was prepared and approved by the CEO at the Executive Leadership Team meeting held on 14 June 2021, and updated in May 2022. An up-to-date version is published on the City's website.	Yes	A code of Conduct for Employees was prepared and approved by the CEO at the Executive Leadership Team meeting held on 14 June 2021, and updated in May 2022. An up-to-date version is published on the City's website.	Yes A Code of Conduct for Employees was prepared and approved by the CEO at the Executive Leadership Team meeting held on 14 June 2021 and is published on the City's website.			

DISPOSAL OF PROPERTY						
Reference	Question	2023	2022	2021	2020	2019
s3.58(3)	Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) (unless section 3.58(5) applies)?	Yes The City advertised on 30 November 2023 for the disposal of property for a portion of land (302m2) containing public parking bays and pedestrian access areas at 6 Lawley Court, Joondalup.	N/A The City tendered for a commercial lease at Joondalup Reception Centre in April 2022. The evaluation process found no suitable lessee and the incumbent's lease was terminated in December 2022.	N/A	Yes The City advertised in the Joondalup Weekender newspaper on Thursday 26 August 2020 for the disposal of property for the Joondalup Reception Centre located at 102 Boas Avenue, Joondalup. Concerning the private treaty land disposal of Lot 803 (15) Burlos Court Joondalup public notice was served for a 15-day period from 26 March 2020.	Yes Public notice of a private treaty disposition concerning Lot 2 (20) Kanangra Crescent, Greenwood was included in the West Australian on 30 March 2019 inviting submissions until 15 April 2019.
s3.58(4)	Where the local government disposed of property under section 3.58(3), did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property?	Yes The City provided details within the advertisement of concerned parties, the permitted purpose and proposed term of the lease, market valuation amount and date and proposed rent to be received.	N/A	N/A	Yes For the Joondalup Reception Centre located at 102 Boas Avenue Joondalup the City provided details within the advertisement of concerned parties, the permitted purpose and proposed term of the lease, market valuation amount and date and proposed rent to be received. For Lot 803 (15) Burlos Court Joondalup all the required details were included in the public notice.	Yes All the required details were included in the public notice.

ELECTIONS						
Reference	Question	2023	2022	2021	2020	2019
Elect Regs 30G(1) & (2)	Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the forms relating to each candidate?	Yes The register and gift declaration forms are maintained by the Manager Governance.	Yes The register and gift declaration forms are maintained by the Manager Governance.	Yes The register and gift declaration forms are maintained by the Manager Governance.	Yes The register and gift declaration forms are maintained by the Manager Governance.	Yes An Electoral Gift Register is maintained in the City's record management system.
Elect Regs 30G(3) & (4)	Did the CEO remove any disclosure of gifts forms relating to an unsuccessful candidate, or a successful candidate that completed their term of office, from the electoral gift register, and retain those forms separately for a period of at least two years?	Yes All electoral gift forms are retained in the City's Record Keeping System and disposed of in accordance with legislative requirements.	Yes All electoral gift forms are retained in the City's Record Keeping System and disposed of in accordance with legislative requirements.	Yes All electoral gift forms are retained in the City's Record Keeping System and disposed of in accordance with legislative requirements.	Yes All electoral gift forms are retained in the City's record keeping system and disposed of in accordance with legislative requirements.	Yes Disclosure of Gift forms relating to unsuccessful candidates have been removed from the Electoral Gift Register and retained for a further 2 years.
Elect Regs 30G(5) & (6)	Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with Elect Reg 30G (5) & (6)?	Yes An up-to-date version of the electoral gift register is available on the City's website. Note: there were no gift declarations in relation to the 2023 Local Government Election.	Yes An up-to-date version of the electoral gift register is available on the City's website.	Yes The electoral gift register is available on the City's website.	Yes The electoral gift register is available on the City's website.	

FINANCE						
Reference	Question	2023	2022	2021	2020	2019
s7.1A	Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Act?	Yes At its meeting held on 6 November 2023 (CJ213-11/23 refers) Council, by an Absolute Majority, established the Audit and Risk Committee and appointed members and deputy members to that Committee.	Yes At its meeting held on 1 November 2021 (JSCO2-11/21 refers), Council, by Absolute Majority, established the Audit and Risk Committee and appointed members and deputy members to that committee.	Yes Council previously established an Audit and Risk Committee, by Absolute Majority, at its meeting held on 4 November 2019 (JSC03-11/19 refers). At its meeting held on 1 November 2021 (JSC02-11/21 refers), Council, by Absolute Majority, established the Audit and Risk Committee and appointed members and deputy members to that committee.	Yes Council previously established an Audit and Risk Committee by Absolute Majority at its Special Meeting held on 6 November 2017 (JSC03-11/17 refers). At its meeting held on 4 November 2019 (JSC03-11/19 refers) post elections, Council, by Absolute Majority, re-established the Audit and Risk Committee and appointed members and deputy members to the committee.	Yes Council previously established an Audit and Risk Committee by Absolute Majority at its Special Meeting held on 6 November 2017 (JSC03-11/17 refers). At its meeting held on 4 November 2019 (JSC03-11/19 refers) post elections, Council, by Absolute Majority, re-established the Audit and Risk Committee and appointed members and deputy members to the committee.
s7.1B	Where the council delegated to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority?	N/A No delegations were made to the Audit and Risk Committee.	N/A No delegations were made to the Audit and Risk Committee.	N/A No delegations were made to the Audit and Risk Committee.	N/A No delegations were made to the Audit and Risk Committee.	N/A No delegations were made to the Audit and Risk Committee.
s7.3(1) & s7.6(3)	Was the person or persons appointed by the local government to be its auditor appointed by an absolute majority decision of council?				N/A The City's auditor is the Office of the Auditor-General, appointed by legislation.	N/A The City's auditor is the Auditor-General, by law.
s7.3(1)	Was the person(s) appointed by the local government under s7.3(1) to be its auditor, a registered company auditor?					N/A The City's auditor is the Auditor-General, by law.
s7.3(3)	Was the person(s) appointed by the local government under s7.3(1) to be its auditor a registered company auditor or an approved auditor?				N/A The Office of the Auditor General was not appointed by the City.	
s7.9(1)	Was the auditor's report for the financial year ended 30 June [relevant year] received by the local government by 31 December [relevant year]?	Yes Received on 1 December 2023.	Yes OAG audit opinion dated 20 December 2022.	Yes OAG report for 2020-2021 dated 14 December 2021.	Yes The Office of the Auditor General's audit report for 2019/2020 was dated 7 December 2020.	Yes
s7.12A(3)	Where the local government determined that matters raised in the auditor's report prepared under s7.9(1) of the Act required action to be taken, did the local government ensure that appropriate action was undertaken in respect of those matters?	N/A No such matters raised.	N/A No matters identified.	N/A No such matters identified.	N/A No such identified.	N/A No such actions required.
s7.12A(4)(a) & (4)(b)	Where matters identified as significant were reported in the auditor's report, did the local government prepare a report that stated what action the local government had taken or intended to take with respect to each of those matters? Was a copy of the report given to the Minister within three months of the audit report being received by the local government?	N/A No such matters raised.	N/A	N/A	N/A	
S7.12A (4)	Where the auditor identified matters as significant in the auditor's report (prepared under s7.9(1) of the Act), did the local government prepare a report stating what action had been taken or it intended to take with respect to each of the matters and give a copy to the Minister within 3 months after receipt of the audit report?					N/A

FINANCE						
Reference	Question	2023	2022	2021	2020	2019
s7.12A(5)	Within 14 days after the local government gave a report to the Minister under s7.12A(4)(b), did the CEO publish a copy of the report on the local government's official website?	N/A	N/A	N/A	N/A	N/A
Audit Reg 7	Did the agreement between the local government and its auditor include the objectives and scope of the audit, a plan for the audit, details of the remuneration and expenses paid to the auditor, and the method to be used by the local government to communicate with the auditor?				Yes Note that the Office of the Auditor General's objectives are not determined by the City.	Yes Note that Auditor General's objectives are not determined by the City.
	Did the agreement between the local government and its auditor include the scope of the audit?					Yes
	Did the agreement between the local government and its auditor include a plan for the audit?					Yes
	Did the agreement between the local government and its auditor include details of the remuneration and expenses to be paid to the auditor?					Yes Actual Fee determined by the Auditor General and communicated to the City subsequently.
	Did the agreement between the local government and its auditor include the method to be used by the local government to communicate with, and supply information to, the auditor?					No
Audit Reg 10(1)	Was the auditor's report for the financial year ending 30 June received by the local government within 30 days of completion of the audit?	Yes	Yes	Yes	Yes	Yes

INTEGRATED PLANNING AND REPORTING						
Reference	Question	2023	2022	2021	2020	2019
s5.56 Admin Reg 19DA (6)	Has the local government adopted a Corporate Business Plan. If Yes, please provide adoption date of the most recent Plan in Comments?					Yes The Corporate Business Plan 2019/20 - 2023/24 was adopted by Council in August 2019.
s5.56 Admin Reg 19DA (4)	Has the local government reviewed the Corporate Business Plan in the 2018-2019 Financial Year. If Yes, please provide date of Council meeting the review was adopted at?					Yes The Corporate Business Plan for 2019/20 - 2023/24 was reviewed and prepared during the 2018/19 period and adopted in August 2019.
Admin Reg 19C	Has the local government adopted by absolute majority a strategic community plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes The Strategic Community Plan (Joondalup 2032) was adopted by Council on 28 June 2022 (CJ093-06/22 refers).	Yes 28-Jun-22	Yes The Strategic Community Plan (Joondalup 2022) was adopted by Council at the October 2012 meeting. A major review of the Strategic Community Plan was undertaken in 2017. The City is currently in the process of developing a new Strategic Community Plan and sought community feedback to inform the new plan during 2021.	Yes The Strategic Community Plan (Joondalup 2022) was adopted by Council at its meeting held on 23 October 2012 (CJ210-10/12 refers). A major review of the Strategic Community Plan was undertaken in 2017. The City is currently in progress of developing a new Strategic Community Plan.	Yes The Strategic Community Plan (Joondalup 2022) was adopted by Council at The October 2012 meeting.
s5.56 Admin Reg 19C (4)	Has the local government reviewed the current Strategic Community Plan. If Yes, please provide date of most recent review by Council in Comments. Note: If the current Strategic Community Plan was adopted after 1/1/2016, please respond N/A and provide adoption date in Comments?					Yes Major review of the Strategic Community Plan was undertaken and modifications were adopted by Council at the April 2018 meeting.
Admin Reg 19DA(1) & (4)	Has the local government adopted by absolute majority a corporate business plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes The City's Corporate Business Plan 2023-2027 was adopted by Council on 27 June 2023 (CJ093-06/23 refers).	Yes The City's Corporate Business Plan 2022-2026 was adopted by Council at its meeting on 28 June 2022.	Yes The Corporate Business Plan 2021/22-2025/26 was adopted by Council at its meeting held on 21 September 2021 (item CJ136-09/21 refers). Quarterly reports against the progress of the plan are provided to Council. The next review of the Corporate Business Plan will take place in 2022/23.	Yes The Corporate Business Plan 2020/2021-2024/2025 was adopted by Council at its meeting held on 20 October 2020 (CJ148-10/20 refers). The next review of the Corporate Business Plan will take place in 2021/2022.	
Admin Reg 19DA(2) & (3)	Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)?	Yes	Yes	Yes	Yes	
S5.56 Admin Reg 19DA (3)	Has the local government developed an Asset Management Plan(s) that covers all asset classes. If Yes, please provide the date of the most recent Plan adopted by Council in Comments?					Yes The City's Asset Management Strategy was endorsed by the Chief Executive Officer on 6 October 2014. The Strategy was not adopted by Council, however it has been presented to elected members at a strategy session, budget workshops and induction.
S5.56 Admin Reg 19DA (3)	Has the local government developed a Long Term Financial Plan. If Yes, please provide the adoption date of the most recent Plan in Comments?					Yes Adopted at Council meeting on 20 August 2019 CJ108-08/19 refers.
S5.56 Admin Reg 19DA (3)	Has the local government developed a Workforce Plan. If Yes, please provide adoption date of the most recent Plan in comments?					Yes Current Workforce Plan 2018-2022 was endorsed by the CEO on 17 December 2018.



LOCAL GOVERNMENT EMPLOYEES						
Reference	Question	2023	2022	2021	2020	2019
Admin Reg 18C	Did the local government approve a process to be used for the selection and appointment of the CEO before the position of CEO was advertised?			N/A	Yes At Special Council meeting held on 11 February 2020 (JSC01-02/20 refers).	N/A
s5.36(4) & s5.37(3) Admin Reg 18A	Were all CEO and/or senior employee vacancies advertised in accordance with Admin Reg 18A?	N/A No vacancies during the period.	N/A There were no senior employees appointed during the period.	Yes Position of Director Planning and Community Development was advertised in both SEEK and the Local Government Jobs Directory (adverts placed by Lester Blades - Recruitment Consultant)	Yes The CEO position was advertised widely in June 2020, including in the West Australian newspaper on 27 June 2020. The position was required to be readvertised in October 2020 but this did not include the West Australian newspaper as legal advice indicated this was not needed.	No The vacant senior employee position of Director Corporate Services was not advertised in a newspaper circulating throughout the state as required by Admin Reg 18A. Contemporary electronic media advertising (e.g. Seek) with circulation far wider but inclusive of the state was adopted.
Admin Reg 18E	Was all information provided in applications for the position of CEO true and accurate?	N/A	N/A	N/A	Yes Due diligence confirmed by Lester Blades - recruitment agent engaged to complete recruitment for the successful applicant.	N/A
Admin Reg 18F	Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position under section 5.36(4)?	N/A	N/A	N/A	Yes	N/A
s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss senior employee?	Yes Council was informed at its meeting held on 12 December 2023 (CJ290-12/23 refers) that the employment contract of the Director Governance and Strategy was being renewed for a further five year period from 21 April 2024.	N/A There were no senior employees appointed or dismissed during the period.	Yes Council were informed of an appointment to the position of Director Planning and Community Development (designated Senior Employee) at the Council Meeting held on 14 December 2021 (item CJ186-12/21 refers).	N/A	Yes Council were informed of contract renewal for one senior employee at Council meeting 25/06/2019 (CJ083-06/19 refers) Appointment of senior employee Director Corporate Services referred to Special Council meeting 03/12/2019 (JS05-12/19 refers).
s5.37(2)	Where council rejected a CEO's recommendation to employ or dismiss a senior employee, did it inform the CEO of the reasons for doing so?	N/A	N/A	N/A	N/A	

OFFICIAL CONDUCT						
Reference	Question	2023	2022	2021	2020	2019
s5.120	Has the local government designated a senior employee as defined by section 5.37 to be its complaints officer?	Yes	Yes	Yes The content of section 5.120, to which the question relates, was deleted with effect from 7 November 2020 upon the proclamation of the commencement of section 57, inter alia, of the Local Government Legislation Amendment Act 2019. The content of new section 5.120, inserted by section 57, has no relevance to this Question.	Yes	N/A
s5.121(1) & (2)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that resulted in a finding under section 5.110(2)(a)? Does the complaints register include all information required by section 5.121(2)?	Yes	Yes	Yes	N/A	
	Has the complaints officer for the local government maintained a register of complaints which records all complaints that result in action under s5.110(6)(b) or (c)?					Yes
s5.121(2)	Does the complaints register include all information required by section 5.121 (2)?	Yes	Yes		N/A	
s5.121(2)(a)	Does the complaints register maintained by the complaints officer include provision for recording of the name of the council member about whom the complaint is made?					Yes
s5.121(2)(b)	Does the complaints register maintained by the complaints officer include provision for recording the name of the person who makes the complaint?					Yes
s5.121(2)c	Does the complaints register maintained by the complaints officer include provision for recording a description of the minor breach that the standards panel finds has occurred?					Yes
s5.121(2)(d)	Does the complaints register maintained by the complaints officer include the provision to record details of the action taken under s5.110(6)(b) or (c)?					Yes
s5.121(3)	Has the CEO published an up-to-date version of the register of the complaints on the local government's official website?	Yes	Yes	Yes	N/A	

OPTIONAL QUESTIONS / OTHER											
Reference	Question	2023		2022		2021		2020		2019	
Financial Management Reg 5(2)(c)	Did the CEO review the appropriateness and effectiveness of the local government’s financial management systems and procedures in accordance with Financial Management Reg 5(2)(c) within the three years prior to 31 December [the relevant year]? If yes, please provide the date of council’s resolution to accept the report.	Yes	At its meeting held on 19 September 2023 (13.2.2 refers).	N/A	Not due in 2022; review currently underway and due for completion in 2023.	N/A		Yes	Yes at its meeting held on 17 March 2020 (CJ036-03/20 refers).	Yes	Review has been completed by consultancy firm Deloitte and will be reported to the Audit and Risk Committee and then Council in March 2020.
Audit Reg 17	Did the CEO review the appropriateness and effectiveness of the local government’s systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Audit Reg 17 within the three years prior to 31 December [the relevant year]? If yes, please provide date of council’s resolution to accept the report.	Yes	At its meeting held on 19 September 2023 (13.2.1 refers).	N/A	Not due in 2022; review currently underway and due for completion in 2023.	N/A		Yes	Yes at its meeting held on 17 March 2020 (CJ035-03/20 refers).	Yes	Review has been completed by consultancy firm Deloitte and will be reported to the Audit and Risk Committee and then Council in March 2020.
Financial Management Reg 5A.	Did the local government provide AASB 124 related party information in its annual report(s) tabled at an electors meeting(s) during calendar year 2019?									Yes	In accordance with AASB 124 related party information was reported within the Annual Financial Statements that formed part of the annual report tabled at the Electors Meeting in December 2019.
s5.87C(2)	Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift?							Yes			
	Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C?	Yes	All disclosures were made within 10 days and include the information required by section 5.87C of the Act.	Yes		Yes		Yes			
s5.90A(2) & (5)	Did the local government prepare, adopt by absolute majority and publish an up-to-date version on the local government’s website, a policy dealing with the attendance of council members and the CEO at events?	Yes	An Attendance at Events Policy was adopted by Council at its meeting held on 19 May 2020 (CJ067-05/20 refers).	Yes	An Attendance at Events Policy was adopted by Council on 19 May 2020 (CJ067-05/20 refers).	Yes	The Attendance at Events Policy was adopted by Council on 19 May 2020 (CJ067-05/20 refers).	Yes	The Attendance at Events Policy was adopted by Council at its meeting held on 19 May 2020 (CJ067-05/20 refers). The Attendance at Events Policy was published on the City’s website after its endorsement on the 19 May 2020.		
s5.96A(1), (2), (3) & (4)	Did the CEO publish information on the local government’s website in accordance with sections 5.96A(1), (2), (3), and (4)?	Yes	All information is on the City’s website that is required to be published.	Yes	All information is on the City’s website that is required to be published.	Yes	All information is on the City’s website that is required to be published. The City is working towards the consolidation of its Local Laws on the City’s website.	Yes	All information is on the City’s website that is required to be published.		
s5.128(1)	Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members?	Yes	The Council has adopted an Elected Members’ Entitlements Policy, which contains matters in relation to the continuing professional development of elected members. The Policy was last reviewed by Council at its meeting held on 17 May 2022 (CJ077-05/22 refers) and adopted by an Absolute Majority.	Yes	The City’s Elected Members’ Entitlements Policy contains matters in relation to the continuing professional development of elected members.	Yes	The City’s Elected Members’ Entitlements Policy contains matters in relation to the continuing professional development of elected members.	No	The City’s current Elected Members’ Entitlements Policy contains policy matters in relation to the continuing professional development of elected members. This policy was in place well before section 5.128(1) came into effect in 2019. Council in accordance with this provision will be reviewing this policy prior to the 2021 local government elections.		

OPTIONAL QUESTIONS / OTHER											
Reference	Question	2023		2022		2021		2020		2019	
s5.127	Did the local government prepare a report on the training completed by council members in the [the relevant year] and publish it on the local government's official website by 31 July each year?	Yes	Council received a report at its meeting held on 25 July 2023 (CJ115-07/23 refers). The report is available on the City's website and was published before 31 July 2023.	Yes	Council received a report at its meeting held on 19 July 2022 (CJ112-07/22 refers). The report is available on the City's website and was published before 31 July 2022.	Yes	Council received a report at its meeting held on 20 July 2021 (CJ097-07/21 refers). The report is available on the City's website and was published before 31 July 2021.	Yes	Council received a report at its meeting held on 21 July 2020 (CJ100-07/20 refers). The report is available on the City's website and was published before 31 July 2020.		
s6.4(3)	By 30 September [the relevant year], did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June [the relevant year]?	Yes	Submitted to the Office of the Auditor General on 28 September 2023.	Yes		Yes		Yes		Yes	
s.6.2(3)	When adopting the annual budget, did the local government take into account all it's expenditure, revenue and income?	Yes		Yes		Yes					

TENDERS FOR PROVIDING GOODS AND SERVICES						
Reference	Question	2023	2022	2021	2020	2019
F&G Reg 11A(1) & (3)	Did the local government comply with its current purchasing policy [adopted under F&G Reg 11A(1) & (3)] in relation to the supply of goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less?	Yes	Yes	Yes		
	Does the local government have a current purchasing policy that complies with F&G Reg 11A(3) in relation to contracts for other persons to supply goods or services where the consideration under the contract is, or is expected to be, \$250,000 or less or worth \$250,000 or less?				Yes	
F&G Reg 11A	Does the local government have a current purchasing policy that comply with F&G Reg 11A(3) in relation to contracts for other persons to supply goods or services where the consideration under the contract is, or is expected to be, \$150,000 or less?					Yes
	Did the local government comply with its current purchasing policy in relation to the supply of goods or services where the consideration under the contract is, or is expected to be \$150,000 or less or worth \$150,000 or less?					Yes
s3.57 F&G Reg 11	Subject to Functions and General Reg 11(2), did the local government invite tenders for all contracts for the supply of goods or services where the consideration under the contract was, or was expected to be, worth more than the consideration stated in F&G Reg 11(1)?	Yes	Yes	Yes	Yes	Yes
F&G Regs 11(1), 12(2), 13, & 14(1), (3), and (4)	When regulations 11(1), 12(2) or 13 required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with Functions and General Reg 14(3) and (4)?	Yes	Yes	Yes	Yes	
F&G Reg 12	Did the local government comply with Functions and General Reg 12 when deciding to enter into multiple contracts rather than a single contract?	Yes	Yes	Yes	Yes	Yes
F&G Reg 14(1) & (3)	Did the local government invite tenders via Statewide public notice?					Yes
F&G Reg 14 & 15	Did the local government's advertising and tender documentation comply with Functions and General Regs 14, 15 & 16?					Yes
F&G Reg 14(5)	If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer notice of the variation?	Yes	Yes	Yes	Yes	Yes
F&G Regs 15 & 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of Functions and General Regs 15 and 16?	Yes	Yes	Yes	Yes	
F&G Regs 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of Functions and General Reg 16?					Yes

TENDERS FOR PROVIDING GOODS AND SERVICES						
Reference	Question	2023	2022	2021	2020	2019
F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of Functions and General Reg 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website?	Yes	Yes	Yes	No Information recorded in the tender register is in accordance with Reg 17 and the tender register is available for public inspection. The requirement to publish the tender register on the City's website was enacted only in November 2020 with no prior warning or lead-in time provided. The City will have this published on its website in March 2021.	
	Did the information recorded in the local government's tender register comply with the requirements of Functions and General Reg 17 and did the CEO make the tenders register available for public inspection?					Yes
F&G Reg 18(1)	Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender?	N/A The Tenderlink electronic submission system automatically declines any attempts to submit tenders after the cut-off time specified in the tender.	Yes The Tenderlink electronic submission system automatically declines any attempts to submit tenders after the cut-off time specified in the tender. The City did receive an emailed tender submission from one potential bidder who did not submit it through Tenderlink before it closed. The City rejected this.	N/A Tenders were submitted at the place and time specified.	Yes	Yes
F&G Reg 18(4)	Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept?	Yes	Yes	Yes	Yes	Yes
F&G Reg 19	Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted?	Yes	Yes	Yes	Yes	Yes
F&G Regs 21 & 22	Did the local government's advertising and expression of interest processes comply with the requirements of Functions and General Regs 21 and 22?	Yes	Yes	Yes	Yes	Yes
F&G Reg 23(1) & (2)	Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice?	N/A The Tenderlink electronic submission system automatically declines any attempts to submit expressions of interest after the cut-off time specified in the tender.	N/A	N/A Expressions of interest were submitted at the place and time specified.	N/A Expressions of interest were submitted at the place and time specified.	N/A All expressions of interest were submitted at the place and time specified.
F&G Reg 23(3) & (4)	Were all expressions of interest that were not rejected under Functions and General Reg 23(1) & (2) assessed by the local government? Did the CEO list each person as an acceptable tenderer?	Yes	Yes	Yes	Yes	
F&G Reg 23(4)	After the local government considered expressions of interest, did the CEO list each person considered capable of satisfactorily supplying goods or services?				Yes	Yes
F&G Reg 24	Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with Functions and General Reg 24?	Yes	Yes	Yes	Yes	No The Notice issued for one EOI did not comply omitting the names of all persons listed as acceptable tenderers. A correction notice has been issued in 2020 to correct this oversight.

TENDERS FOR PROVIDING GOODS AND SERVICES						
Reference	Question	2023	2022	2021	2020	2019
F&G Reg 24AC (1) & (2)	Has the local government established a policy on procurement of goods and services from pre-qualified suppliers in accordance with the regulations?					Yes The City's Purchasing Policy has provisions for Regulation 24AC (1) & (2) and is further detailed in a Protocol.
F&G Regs 24AD(2) & (4) and 24AE	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with Functions and General Reg 24AD(4) and 24AE?	Yes	Yes	Yes	Yes	Yes
F&G Reg 24AD(6)	If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application notice of the variation?	Yes	Yes	Yes	Yes	Yes
F&G Reg 24AF	Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of Functions and General Reg 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application?	Yes	Yes	Yes	Yes	Yes
F&G Reg 24AG	Did the information recorded in the local government's tender register about panels of pre-qualified suppliers comply with the requirements of Functions and General Reg 24AG?	Yes	Yes	Yes	Yes	Yes
F&G Reg 24AH(1)	Did the local government reject any applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time, specified in the invitation for applications?	N/A The Tenderlink electronic submission system automatically declines any attempts to submit applications after the cut-off time specified in the tender.	N/A	N/A Applications were submitted at the place and time specified.	N/A	N/A None received for single Panel of Pre-qualified Suppliers advertised in this period.
F&G Reg 24AH(3)	Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept?	Yes	Yes	Yes	Yes	Yes
F&G Reg 24AI	Did the CEO send each applicant written notice advising them of the outcome of their application?	Yes	Yes	Yes	Yes	Yes
F&G Regs 24E & 24F	Where the local government gave regional price preference, did the local government comply with the requirements of Functions and General Regs 24E and 24F?	N/A	N/A	N/A	N/A	N/A The City is not eligible to apply this price preference.

**City of Joondalup** Risk Management Framework

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



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- Recording and Reporting

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****3****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**

Dishonest activity in which a person associated with an organisation (e.g. director, executive, manager, employee or contractor) acts contrary to the interests of the organisation and abuses their position of trust in order to achieve personal advantage or advantage for another person or organisation. This can also involve corrupt conduct by the organisation, or a person purporting to act on behalf and in the interests of the organisation, in order to secure some form of improper advantage for the organisation either directly or indirectly.

**Fraud Risk**

Dishonest activity causing actual or potential gain or loss to any person or organisation including theft of moneys or other property by persons internal and/or external to the organisation and/or where deception is used at the time, immediately before or immediately following the activity. This also includes the deliberate falsification, concealment, destruction or use of falsified documentation used or intended for use for a normal business purpose or the improper use of information or position for personal financial benefit.

**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.

**City of Joondalup Risk Management Framework****4****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.

**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****5****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 Policy – along with the stated risk tolerance – also outlines Council's authority and willingness to take risk within certain boundaries, as determined by the Council, and relevant laws and legislation.

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.

Risk management does not stand outside of the City's normal activities. Sustainable risk management is built into, and not built on, everyday tasks and duties. To ensure the process is managed, it must always be demonstrated in strategic planning and mandated in all operational functions and services

The Framework will be reviewed annually with the results presented to the Audit and Risk Committee in March each year.

## City of Joondalup Risk Management Framework

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## Governance

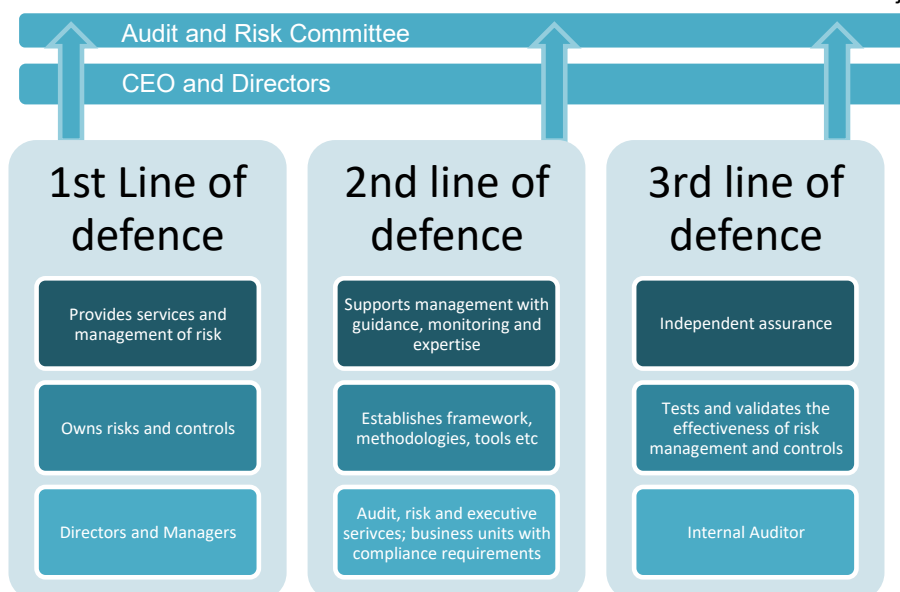
Risk management governance is provided through the structured approach to risk management capturing roles, responsibilities and accountabilities. This approach is commonly referred to as the **three lines of defence**.

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****7**

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.

The Standard provides guidance on framework development and integration of risk management through, but not limited to, the following statements:

5.1 General – The effectiveness of risk management will depend on its integration into the governance of the organisation, including decision-making. This requires support from stakeholders, particularly to management.

5.2 Leadership and commitment – Top management and oversight bodies, where applicable, should ensure that risk management is integrated into all organisational activities and should demonstrate leadership and commitment by:

- customising and implementing all components of the framework;
- issuing a statement or policy that establishes a risk management approach;
- ensuring that the necessary resources are allocated to managing risk;
- assigning authority, responsibility and accountability at appropriate levels within the organisation.

The City implements these elements of leadership and commitment through:

- submitting a *Risk Management Framework* to top management (Chief Executive Officer and Directors) and oversight bodies (Audit and Risk Committee and Council) to ensure it continually meets the needs of the organisation;
- submitting a *Risk Management Policy* for Council endorsement that establishes the risk management approach;
- Council endorsement of the operating budget that includes a business unit service of internal audit and risk mitigation advice, including employee resources;
- assigns authority through the development, endorsement and implementation of the Framework

**City of Joondalup Risk Management Framework****8****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

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## Integrated Planning and Risk Alignment



## Roles and Connections in Risk Management System

**Council:** Represents the interests of the community through the adoption of risk related documents that allow City Administration to reduce risk where possible

Risk Management Policy	Risk Management Framework	Risk Tolerance	Strategic Risk	Escalated Risk	Risk Compliance
Adopted by Council; agrees approach and commitment to risk	Endorsed by Council; to implement policy	Endorsed in Framework to ensure criteria defined on acceptable risk	Barriers to achieving long term objectives that inform other risks	Risks that do not meet risk tolerance and need reporting and monitoring	Audit and Risk Committee receives audit reports and findings

City Administration					
Risk Management Policy	Risk Management Framework	Risk Tolerance	Strategic Risk	Escalated Risk	Risk Compliance
Updates policy based on feedback from internal and external sources	Reviews framework and associated guidelines based on feedback from internal and external sources	Develops processes and systems that allows agreed tolerance levels to be integrated into all risk assessments	Compiles and reports on strategic risk register based on input from Council and Executive Leadership Team	Alerts Council and Executive Leadership Team to risks reported outside of tolerance and requests management input	Delivers reports to Audit and Risk Committee in relation to risk management, internal control and legislative compliance



**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****11****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*.
- Report outcomes of reviews undertaken at least once every three years to Council via the Audit and Risk Committee 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*).
- Presents administrative reports to Audit and Risk Committee in relation to risk management, internal control and legislative compliance.

**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****12****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

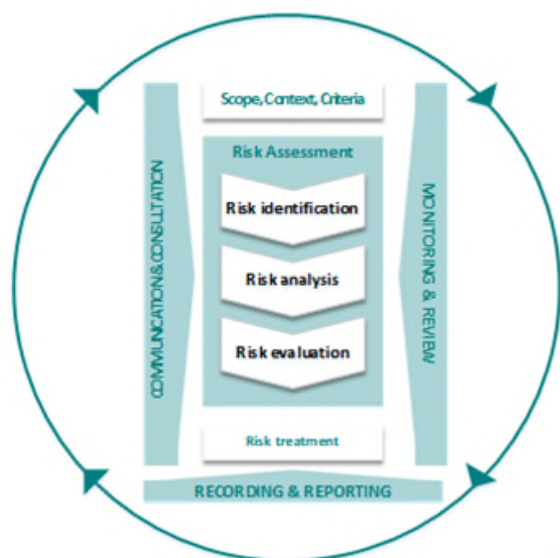
Each person with the authority to accept risk on the City's behalf is responsible for ensuring the risk management process is undertaken. This process should enable risk to influence decision making from the planning stage onwards and is repeated as required, to ensure acceptable management for the life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

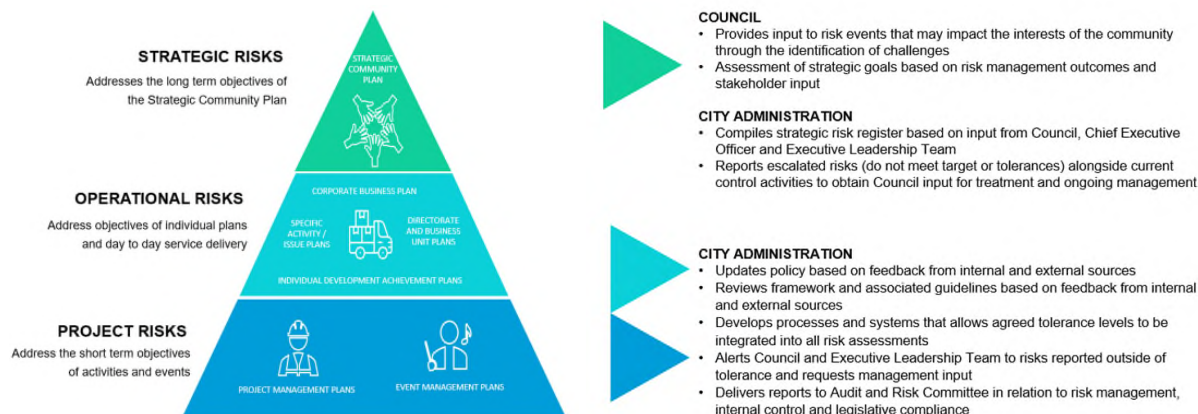
**Refer to Attachment 1 for Risk Rating Matrix and Risk Assessment Process**

## 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 and are responsible for coordinating risk controls and their effectiveness. This category of risk must be managed within the City's 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 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 on 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 the requirements of the *Project Management Framework* or as directed by Project Sponsors.

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

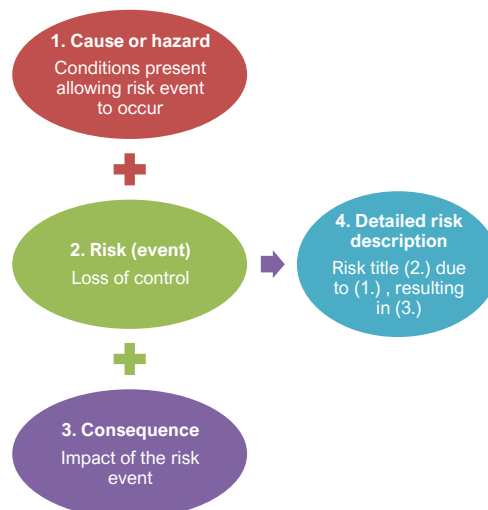
Sources of risk (internal / external), areas of impact (classifications / profiles), causes and potential consequences are identified to establish a list of risks that can enhance, prevent, degrade, accelerate or delay the achievement of objectives. Comprehensive identification is crucial; a risk not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



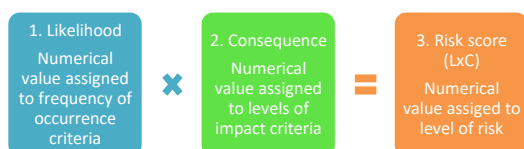
## City of Joondalup Risk Management Framework

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**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 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.



## City of Joondalup Risk Management Framework

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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.*

Operational sign off for should only be undertaken by the person assigned to implement and monitor operational effectiveness. It is only this person that can understand if a control is operating as designed and is producing the desired result. Where a control is assigned to manage a strategic risk it must be signed off by the relevant Director to ensure greater management of undesired results. Control sign off is reflective of operational functionality, not risk responsibility.

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** that include response triggers to indicate where failures may exist when a 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

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## Risk Treatments

Risk treatments are plans to implement change in the risk and/or control environment, that is to reduce causes and/or likelihood of a risk event occurring. These should be balanced with the cost and efforts of implementation against the benefits derived.

Treatment plans are required where residual risk remains as high or extreme or where it has been requested by the Risk Manager or Risk Owner, to improve or replace existing controls – regardless of the risk level.

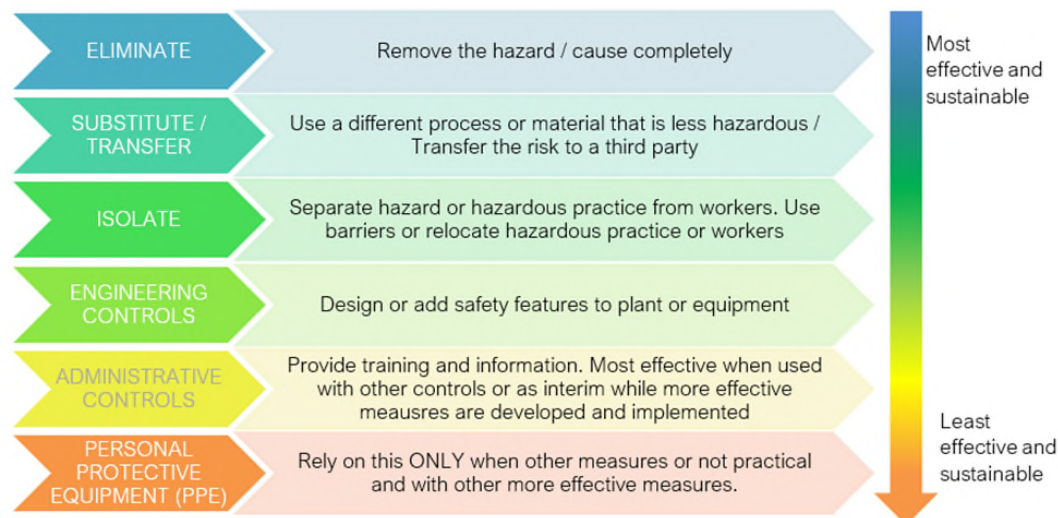
Subject matter expert judgement should always be used to determine where further action is required. Investigation of treatment plans, implemented or not, may be required to be presented to Risk Managers or Risk Owners, or the Executive Leadership Team, to justify levels of control that do not reduce inherent risk to match the risk appetite.

When considering actions to take following the assessment of **hazards relating to health, safety and wellbeing/occupational safety and health**, it is recommended to apply the hierarchy of control system.

Hazards are similar in nature to risk causes and are to be identified for activities that involves human risk. This system is a decision matrix that, when followed in order, provides options for actions to take for safety in the workplace. Only when a more effective control is not practicable should the next level of control be considered.

Individual safety and health risks are recorded in a separate register and managed by the Human Resources Advisor Safety and Risk Management.

### Hierarchy of control system



**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.

**City of Joondalup Risk Management Framework****21**Recording and Reporting

Information for reporting is coordinated by Audit, Risk and Executive Services for operational and strategic risks recorded in the City's risk management system. The information extracted from the 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 is 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 is used.

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.***

**City of Joondalup Risk Management Framework****22**

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

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	 Financial Loss	 Health, Safety & Wellbeing	 Reputation	 Service Delivery	 Environment	 Governance and Compliance
ACCEPTABLE (1)  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
TOLERABLE (2)  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- conformances 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
UNDESIRABLE (3)  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- conformances 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
INTOLERABLE (4)  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		
	IMPROBABLE (1) Risk is unlikely to occur	POSSIBLE (2) Risk could occur, but not certain	PROBABLE (3) Risk is likely to occur
ACCEPTABLE (1) Little or no effect on objectives	Low (1)	Low (2)	Medium (3)
TOLERABLE (2) Effects are noticeable but not critical to objectives	Low (2)	Medium (4)	High (6)
UNDESIRABLE (3) Serious impact to the course of action or objectives	Medium (3)	High (6)	High (9)
INTOLERABLE (4) 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.

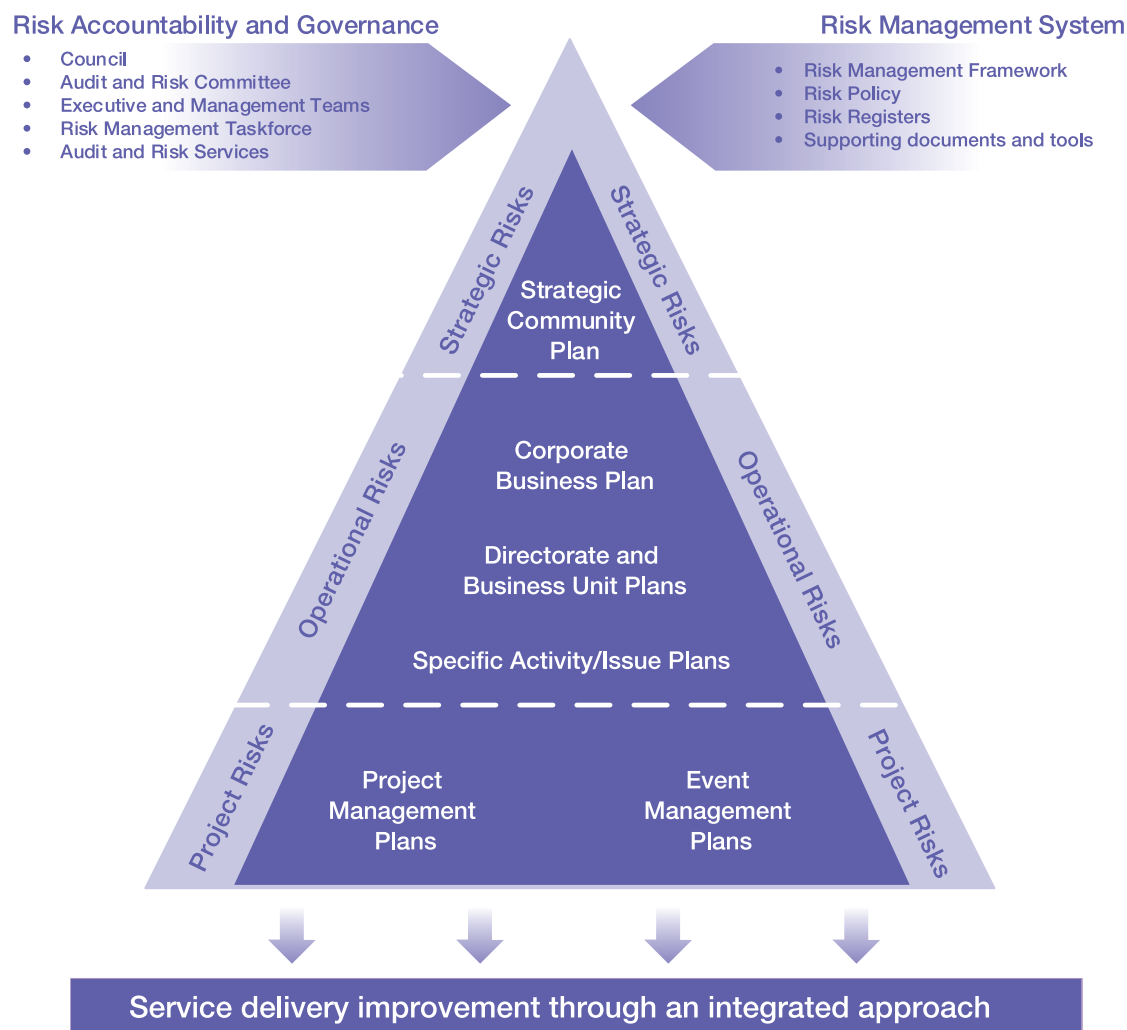
The City's Risk Management Guidelines ("the Guidelines") provides detailed application guidance for the Framework. This includes procedures, practices, responsibilities and activities (including their sequence and timing).

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).

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# 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.

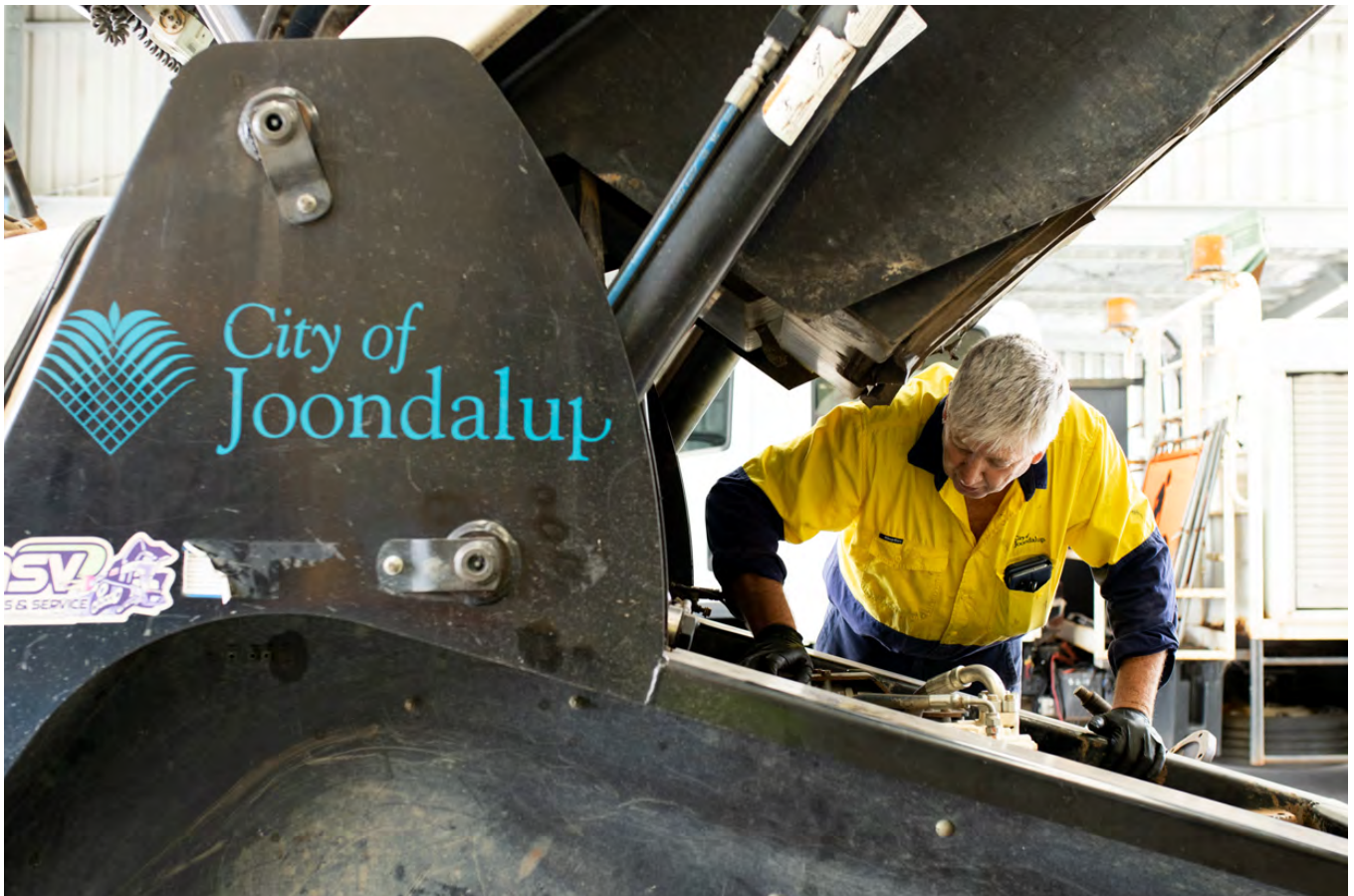
The risk tolerance and management guidance for each risk level is shown below:

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)**



## ATTACHMENT 8.9.2

City of Joondalup Risk Management Framework 11

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.

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City of Joondalup Risk Management Framework 13

### 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



## ATTACHMENT 8.9.2

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.

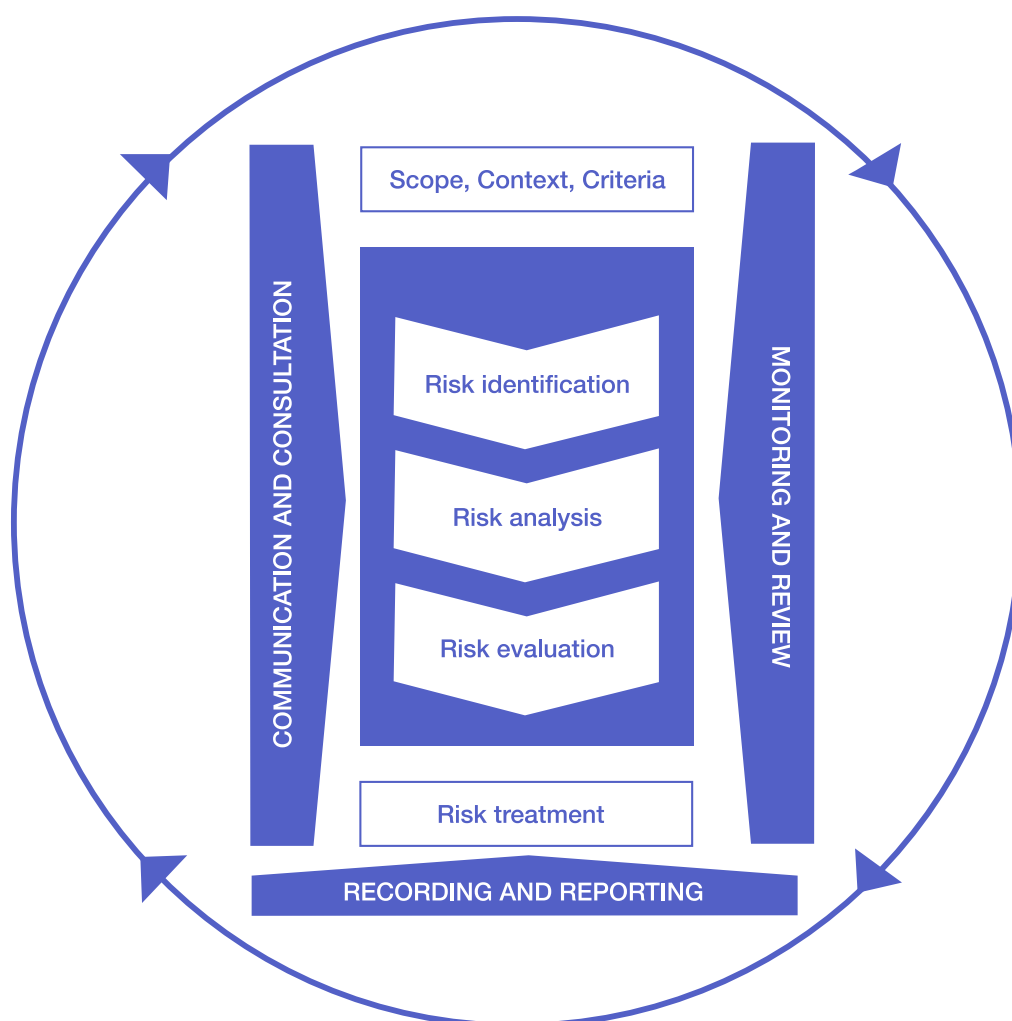


## 6. Risk Management Process

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

## About your Performance Audit



### Management of Staff Exit Controls in Local Government entities

Local Government entities need to ensure when a staff member leaves that premises and information are protected, and all public assets recovered. Ineffective controls increase the risk of security breaches and the loss of information, physical assets and public money.

Without effective staff exit controls, entities are at risk of financial and information loss which could be used inappropriately to financially exploit local government and ratepayers. Unauthorised access to sensitive personal information can cause significant reputational damage and community distrust in a local government entity.

### Audit objective

The objective of this audit is to assess if large local government entities effectively and efficiently manage the exit of staff to minimise security, asset and financial risks. Our key questions are:

- Do large local government entities have appropriate policies and procedures to effectively manage staff exits?
- Do large local government entities comply with staff exit policies and procedures?

### Timing and approach

We expect to table the audit report in the Parliament in the second quarter of 2024. We will discuss other key dates in the audit process when we meet to start the audit and throughout the audit.

The Office of the Auditor General (OAG) has engaged Paxon Business & Financial Services Pty Ltd (Paxon) to conduct this performance audit under Section 29 of the *Auditor General Act 2006*. While Paxon will interact with your staff directly to conduct the audit, we will also have an Engagement Leader from the OAG who will liaise with you throughout the audit.

During the audit Paxon will:

- liaise with your staff
- collect and review relevant information
- discuss the audit progress with your nominated representative
- issue you a Summary of Findings report for comment prior to tabling the report in the Parliament. We expect CEOs of local government entities to update their Mayor on performance audits at their entity. However, confidentiality provisions in section 46 of the *Auditor General Act 2006* mean entities cannot provide report copies to their Minister prior to tabling. Our standard practice is to offer a briefing to relevant Ministers before tabling our reports.

You can help by:

- nominating a liaison for the audit who understands the subject area and can provide information and access to staff
- making senior staff available during the audit to discuss emerging findings.



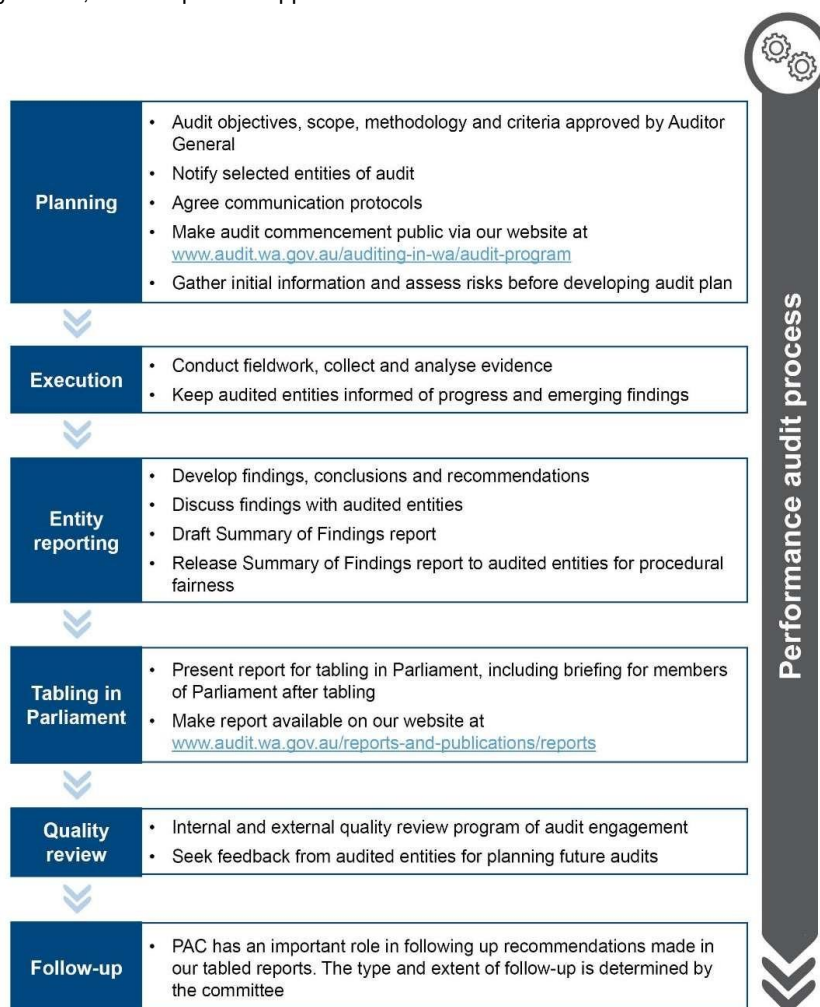


# About your Performance Audit



## The performance audit process

Our performance audits, conducted in accordance with Australian Standards on Assurance Engagements, follow a phased approach.



## Our approach to performance audits



### About the OAG

The Auditor General, supported by the Office of the Auditor General (OAG), is an independent officer of Parliament responsible for auditing Western Australian State and local government entities. The Auditor General has complete discretion in the performance of these functions and reports directly to the Parliament.

The *Local Government Amendment (Auditing) Act 2017* made the Auditor General responsible for local government financial and performance audits.

The *Auditor General Act 2006*:

- outlines the Auditor General's functions to examine government activity through performance audits (s.18(2))
- provides auditors with full and free access to all relevant information, systems and records (s.35)
- outlines our responsibility to preserve the confidentiality of matters that come to our knowledge during the course of an audit (s.46(2))
- outlines entity responsibilities to preserve the confidentiality of matters in the summary of findings report (s.46(4)).

Our information systems, policies and processes are designed to keep entity information safe, both during and following each audit. The OAG does not enter into confidentiality agreements with audited entities as findings from our audits are reported to the Parliament.

Our audit reports can be found at [www.audit.wa.gov.au/reports](http://www.audit.wa.gov.au/reports).

View our annual report for more information about the office [www.audit.wa.gov.au/annual-reports](http://www.audit.wa.gov.au/annual-reports).

### Performance audit approach

Our performance audits assess the efficiency and effectiveness of State and local government activities, services and programs. These audits can identify instances of waste, legislative non-compliance, examples of good practice and make practical recommendations for improvement.

Key principles and practices we follow when undertaking performance audits can be found in our Audit Practice Statement at [www.audit.wa.gov.au/corporate-publications](http://www.audit.wa.gov.au/corporate-publications). These include:

- audit conduct follows the requirements of the Australian Auditing and Assurance Standards
- we demonstrate the highest standards of ethical and personal behaviour
- our audit approach is fair, balanced and transparent
- we have a 'no surprises' approach to informing entities of our audit objectives and emerging findings
- as part of our procedural fairness process we provide audited entities and parties with a special interest a formal opportunity to respond to our summary of findings report
- we deliver credible and independent reports that help improve public sector performance and accountability.



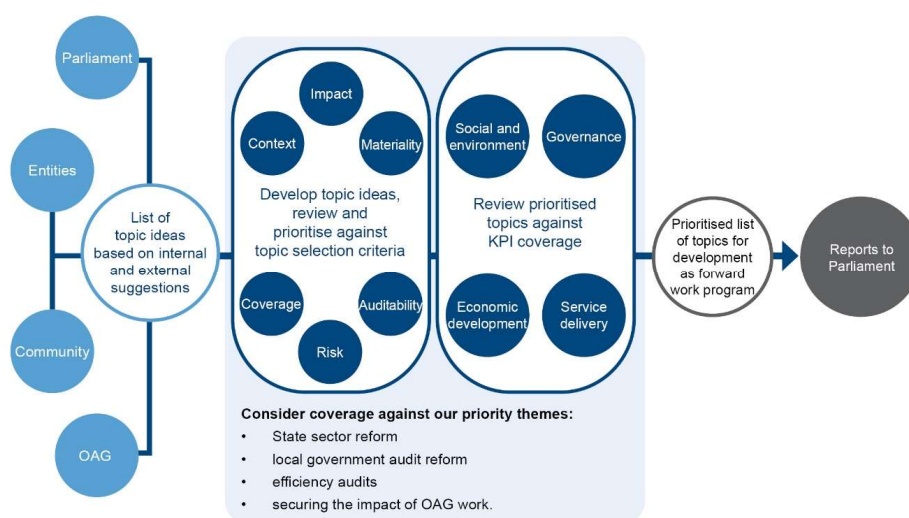
As part of our reporting process, we expect State and local government entity heads to update their Minister/Mayor (or counterpart) on performance audits at their entity. Our practice is to brief relevant Ministers before tabling our reports in the Parliament.

## Topic selection

In deciding what to audit, the Auditor General has regard for the priorities of Parliament but ultimately has complete independence.

We follow the below framework which ensures our topic selection is objective and transparent across 4 areas: social and environment, governance, economic development and service delivery.

We seek to have a balanced program of audits that matter to the Parliament and the community, that reflect how and where public sector entities spend public money.



## What our audits don't do

Our audits do not:

- comment on or criticise Government policy decisions. Although, the Auditor General can assess if State and local government entities have effectively implemented policies
- investigate fraud or other criminal matters. These are handled by the WA Police Force or the Corruption and Crime Commission
- investigate administrative malpractice by State and local government entities that affect an individual. Such matters are the mandate of the Ombudsman.

## Importance of internal controls

Beyond minimum requirements prescribed in legislation, entities need to have strong internal controls and good governance to ensure things go right and to prevent things from going wrong. Management should oversee and monitor their controls, and internal audit should ensure controls and oversight are effective.

The Auditor General acts as a last line of defence - providing stronger levels of assurance to the Parliament and ultimately the people of Western Australia.





[illegible]



## Tenders for Procurement of Goods and Services Protocol

<b>Protocol owner:</b>	Manager Financial Services
<b>Contact person (extension):</b>	Coordinator Contract Administration and Purchasing Services Ext 4390
<b>Promapp link:</b>	N/A
<b>Related protocols:</b>	<ul style="list-style-type: none"> <li>• Purchasing of Goods and Services Protocol</li> <li>• Quotations for Provision of Goods and Services</li> <li>• Purchasing Goods and Services under Prequalified Supplier Panels</li> </ul>
<b>Related policies:</b>	<ul style="list-style-type: none"> <li>• Purchasing Policy</li> <li>• Sustainability Policy</li> </ul>
<b>Other related documentation/legislation:</b>	<ul style="list-style-type: none"> <li>• Tender and Contract Establishment Request Form</li> <li>• Contract Variation Request Form</li> </ul>
<b>HPERM reference:</b>	INT20/28299
<b>Last reviewed:</b>	July 2020

### Objective

- To ensure a consistent and transparent process for the establishment and evaluation of tenders for goods and services.
- To ensure best value is obtained from procurement through tender processes.
- To ensure compliance with the relevant provisions of the *Local Government Act 1995*, *Local Government (Financial Management) Regulations 1996*, and the *Local Government (Functions and General) Regulations 1996*.

### Background

In line with the City's Purchasing Policy, a public tender must be called for goods and services with a value of more than \$250,000 unless any of the provisions of clause 11 (2) of the *Local Government (Functions and General) Regulations 1996* apply.

All values referenced in this protocol are exclusive of GST.

### Scope

This protocol outlines employee and approving officer responsibilities and information on the purchasing of goods and services **above \$250,000** for which a tender must be called. This protocol applies to all employees at the City.

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This protocol does not cover quotations for purchases under \$250,000. *Refer to the Quotations for Providing Goods and Services Protocol on the Corporate Page of the intranet.*

**Employee responsibilities**

The Purchasing of Goods and Services Protocol outlines employee responsibilities and professional standards in the purchasing process. Employees must:

- Ensure that all potential suppliers are treated equitably and provided with the same information.
- Request businesses within the City of Joondalup to submit a tender for the services or the supply sought where possible.
- Not enter into two or more contracts of a similar nature to bring the estimated value of a contract below the tender limit in order to avoid call for a tender. **(Anti Avoidance)**

A breach of the professional standards will require an investigation under the City's Code of Conduct.

**Procedure****Request for Tender**

1. Business Unit officers must complete the **Tender and Contract Establishment Request Form** on the intranet. (*How do I – Forms and Templates – Finance and Purchasing*). This includes documenting the preferred tender evaluation method, the weighting percentage and the minimum acceptable weighted qualitative score (if any) and the Tender Evaluation Panel members.
2. The relevant Business Unit Manager, Director and CEO (when applicable) sign the completed form.

*NB The CEO signs off the Tender and Contract Establishment Request Form for the following services and may request the Internal Auditor to oversee the evaluation process of any of these tenders.*

- Waste management collection services.
  - Consultancy services with expected consideration greater than \$250,000
  - Any other as determined from time to time by the CEO.
3. The Business Unit Officer provides the signed Tender and Contract Establishment Request Form to the Coordinator Contracts Administration and Purchasing Services.
  4. The Business Unit Officer also provides detailed information to the Contracts Administration and Purchasing Team on the following:
    - Scope of requirements;
    - Technical specifications;
    - Safety questionnaire generated from the Joondalup Contractor OSH Management tool for the requirement (when applicable);
    - Pricing schedule items or bill of quantities;
    - Key performance indicators or quantity of supply;
    - List of deliverables;
    - Specific milestones or clearly defined timeframes for the supply is to be delivered;
    - Obligations of the Contractor; and
    - Drawings or plans (where applicable).
  5. Contracts officers use this information to compile a draft **Request for Tender (RFT)**.

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6. The Director Corporate Services, relevant Business Unit Manager, the nominated contract Superintendent and an officer from the Contracts Team will review the final RFT. Additional officers may be required to attend the RFT review meetings for any clarifications as required.
7. The Director Corporate Services must approve the selected evaluation criteria and weighting assigned to each, where these apply, except for tenders where the CEO is the final signatory (as noted above). See below for "Establishment of tender evaluation criteria".

**Establishment of Tender Evaluation Panel (TEP)**

8. The relevant Business Unit Manager nominates appropriate officers to undertake the evaluation of tender submissions, specifying the reasons for their nomination, e.g. the technical expertise, qualifications and relevant experience. The nomination must be supported by the relevant Director. Nominees are to be of sufficient seniority and expertise relative to the complexity and importance of the tender in question.
9. Nominated evaluation panel members should have completed mandatory tender process and evaluation training within the 12 months prior to their nomination, unless a longer period has been permitted or an exemption provided by the CEO or Director Corporate Services. Nominated officers are drawn from a designated pool of potential tender evaluation panellists, who have been previously appointed by the CEO on the basis of seniority and expertise in various business areas within the City. All Directors and Business Unit Managers are part of the evaluation panel pool by default.
10. It is mandatory that a Contracts Officer or the Coordinator Contract Administration and Purchasing Services be appointed a member of the TEP, who will undertake the role of chairperson, unless advised otherwise by the CEO or Director Corporate Services.
11. Tender Evaluation Panel nominations are not appointed unless approved by the Director Corporate Services.

**Tender Evaluation Criteria**

12. Where tender evaluation criteria other than price are considered, the following key qualitative aspects of a tender submission must be evaluated:

<b>Sample Evaluation Criteria</b>		
a	Capacity –	<p>The ability of the tenderer to provide the goods or services including the following:</p> <ul style="list-style-type: none"> <li>• Primary business or market;</li> <li>• Size, by personnel and/or market share;</li> <li>• Organisational structure;</li> <li>• Key personnel, including skills and knowledge;</li> <li>• History and track record, including safety and any other aspects</li> <li>• Financial capacity, including history, current position and/or other ongoing operations with a significant recourse impact;</li> <li>• Access to specialised equipment, where applicable;</li> <li>• Ability to deal with emergencies, where applicable.</li> </ul>
b.	Experience	<p>The experience with provision of similar goods and services, including:</p> <ul style="list-style-type: none"> <li>• Details of work performed, including scope, value and time;</li> <li>• Results of work performed in each case;</li> <li>• Key personnel involved in each case.</li> <li>• A minimum of three referees from each customer.</li> </ul>

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<b>Sample Evaluation Criteria</b>		
c.	Demonstrated understanding of the requirements	This is the tenderer's description of the proposed approach to provide the goods/services in accordance with the City's requirements which shows how well the tenderer has understood these requirements.
d.	Impact on the local community within the City of Joondalup boundaries	This includes aspects such as personnel who are City residents, procurement of materials and supplies from businesses within the City, among other things.

The above criteria are not exhaustive. The tender establishment process must include a careful consideration of various qualitative aspects that may apply to each proposed tender and may require the inclusion of criteria not specifically mentioned above. Similarly, not all these criteria will be relevant in each tender and must be disregarded where not applicable, eg. consideration of financial capacity may not be applicable in the case of supply of simple goods like sand or fuel.

13. The Evaluation Panel must assign the appropriate weighting for each criterion. Historical precedence is not prescriptive for future tender establishment, but only as a guide. Criteria and weighting must be assigned as appropriate to the specific tender in question.

**Completion of Safety Questionnaire**

14. The Business Unit must use the Joondalup Contractor OSH Management tool to generate a safety questionnaire to form part of the RFT. This must be done and provided to Contracts and Purchasing at the time the Tender and Contract Establishment Request Form is completed.

Completion of the questionnaire will be included in the compliance criteria section of the RFT to assess the risk of engaging respondents.

The safety questionnaire only applies to tenders for work undertaken on site that has a potential safety risk. It does not apply to the supply of Goods or the provision of consultancy or other services completed in an office environment.

The TEP will assess the responses to the safety questionnaire using the OSH Management tool.

The TEP is to conduct the compliance (excluding safety) and qualitative assessment of all submissions first. At the conclusion of the assessment, safety will be assessed on the recommended Respondent in the first instance. If the recommended Respondent fails the safety assessment, it will be deemed non-compliant. The TEP must then assess safety of the next most advantageous offer. This shall be repeated until the recommended respondent achieves a pass score in the safety assessment.

In tenders assessed utilising the Qualitative method of assessment, should all respondents that achieve over the minimum pass score fail the safety assessment, then All Offers are to be declined and the tender re-issued.

**Tender advertising and open period**

15. The Contracts Officer completes an Approval to Issue RFT Document Form C002. The Director Corporate Services, relevant Business Unit Manager and Director review and sign the document and return to the Contracts Section to issue the tender.

The Contracts Officer advertises through a statewide public invitation in the West Australian Newspaper, Local Government Tender section.

16. While the tender remains open for submissions, officers must treat all prospective respondents equally under the same terms and conditions. The timeframe for tender submissions must apply

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for all, who must be asked to submit offers for the same goods or services. This includes the following:

- Any clarification requested on an open tender by one prospective respondent must be communicated to all individuals or organisations that have requested the RFT if the matter is relevant to all potential respondents.
- Where an addendum to the RFT is required, the addendum must be issued to all organisations that have requested the RFT. In addition, the RFT must be made available on the Tenderlink web portal to incorporate the addendum for any future downloads by prospective respondents.

**Tender Submissions**

17. Two officers from Contracts Administration open the electronic tender box with an electronic key supplied by the City's electronic tendering service provider. The Contracts Officer nominated to be chairperson of the evaluation panel for that tender will not be either of these two officers.

**Declaration of Confidentiality and Interest**

18. All members of the TEP are required to complete a declaration of confidentiality and interest in the prescribed form prior to receiving copies of the respondents' offers and the associated evaluation documents. This form is issued to the TEP members electronically with a list of the names of the respondents who have submitted an offer to the RFT.
19. The Director Corporate Services assesses actual or perceived interest declared by a TEP member and will determine whether the member should be withdrawn from the TEP.

If a TEP member is withdrawn from the evaluation panel, an appropriate replacement will be appointed in accordance with the procedure for initial nomination of panel members.

20. The Contracts Team subsequently prepares copies of tenderers' offers and associated evaluation documents and distributes electronically to the members of the TEP.

**Tender Evaluation**

21. The Chairperson of the TEP directs the tender evaluation process. Prior to the commencement of the tender evaluation meeting, the Chairperson should ensure that:
  - a. TEP members have attended the mandatory training and individually understand their assigned role on the panel.
  - b. TEP members have read and fully understand the requirements and terms and conditions of the RFT.
  - c. All TEP members have individually assessed the offers prior to the tender evaluation meeting.
  - d. The TEP members agree that qualitative scoring will be either a consensus or average of the scores of the TEP.
22. Before commencing the evaluation process, panel members must identify and document any issue associated with the submitted offers that may represent a potential risk to the City, the degree of that risk and, in consultation with the internal auditor, identify the appropriate action(s) to mitigate the risk(s).
23. The Coordinator Contract Administration and Purchasing Services, Principal Legal Officer and/or the Internal Auditor, as appropriate, will address and clarify issues relating to the wording of the tender documentation, tendered offers received, or the evaluation score sheets.

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**Tenders for Procurement of Goods and Services**

Members of the TEP must record on their individual assessment sheets the determination of their qualitative score and any subsequent amendment, including the discussions and the issues which arise.

***Tender evaluation methods are provided in Appendix 1 to this protocol.***

24. If necessary, the TEP Chairperson will clarify of any information provided in the respondents' tendered offer through documented correspondence. All communications with the respondents must be recorded in the HPE Records Manager. An example is where a need arises to confirm the tenderer's understanding of the requirements and the conditions of supply based on which the tendered price has been determined.
25. The TEP must assess the returned safety questionnaires for Respondents using the Joondalup Contractor OSH Management tool in accordance with the rules set out in Item 14. Any Respondent that achieves an unacceptable risk rating will be deemed non-compliant.

**Reference Checks**

26. As part of the evaluation process, the TEP Chairperson will undertake a reference check by email for the preferred or shortlisted Respondent(s) (when applicable). If made by telephone, the TEP Chairperson and one other member of the TEP will undertake the reference for the preferred or shortlisted Respondent(s) (when applicable). All feedback must be documented and stored to HPE.

In addition, the TEP Chairperson will obtain commercial and financial reports from an independent source such as Illion, a consultant or any other source as considered necessary by the TEP.

**Evaluation and Recommendation Reports**

27. The Contracts Administration and Purchasing Team compile the evaluation report and the report to the CEO or Council in conjunction with the TEP and the relevant Business Unit as required.
28. Business Units must confirm financial information on budget, actual or estimated expenditure to be included in the report to the CEO or Council for the proposed contract period.
29. The tender recommendation report and summary score sheet must be signed by all TEP members.

The content of the recommendation and the report to the CEO or Council must be based on factual information and material contained in the tendered offer from Respondents.

**Post-Tender Negotiations**

30. It may be necessary to enter into negotiations with the preferred supplier, prior to finalising a contract. Post-tender negotiations are undertaken by two members of the TEP when:
  - An aspect of the proposed contract that may lead to cost saving has been identified and needs to be refined; and/or
  - The tendered price is well above budget and there are reasonable prospects of achieving a cost reduction.

The outcome of any post tender negotiations must be fully documented and reflected in the contract before its final execution.

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**Tenders for Procurement of Goods and Services****Tender Register**

31. The Contracts Administration and Purchasing Team maintain and update a Tender Register with the details prescribed under regulation 17 of the *Local Government (Functions and General) Regulations 1996*.

**State Government Common Use Arrangements and West Australian Local Government Association (WALGA) Preferred Supplier Panels**

- 32 If a Common Use Arrangement (CUA) exists for the required goods or services through the State Government or a Preferred Supplier Panel through the purchasing services of WALGA, the City may obtain goods and services through these arrangements without the need to call for separate tenders.

Where the estimated value of the requirement is above the prescribed tender threshold, quotations from all or at least three qualified suppliers must be obtained, whichever is less. A detailed specification is to be prepared as if for a City tender and should be subjected to the same RFT review process as detailed above. Approval for the purchase will be in accordance with the delegation for Incurring Liability and Making Payments and as set out in Recommendation Report Q004.

To ensure best value to the City, officers may compare alternative market prices to those offered by the CUA or WALGA Preferred Supplier Panel suppliers. Appropriate documentation must be maintained and recorded for alternative prices received to justify any purchase outside an existing CUA/Preferred Supplier Panel.

**Common Use Arrangements**

33. Electronic Buyers' Guides are available at the following state government website:  
<https://www.wa.gov.au/government/cuas>.

**WALGA Preferred Supplier Panel**

34. A login to access the VendorPanel can be provided by Contracts Administration and Purchasing Services. Once logged in, officers can request quotes for services via a wizard which prompts officers to provide relevant information sufficient for a supplier to make a quotation. Advice and assistance is available from Contracts Administration and Purchasing Services.

Where a CUA or WALGA Preferred Supplier Panel is used in procuring goods or services for the City, **the contract reference number must be quoted** on all associated purchase orders to ensure that the benefits of the CUA/Preferred Supplier Panel are obtained by the City.

For further information and assistance with CUA/Preferred Supplier Panels contact Contract Administration and Purchasing Services.



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## Appendix 1 Tender Evaluation Methods

The evaluation methods to be utilised are as follows:

Least Cost Comparative	Price is the pre-eminent factor and the lowest priced compliant tender is preferred, subject to Value for Money assessment
Comprehensive Weighting	Each selection criterion including the price is to be weighted and scored and the submission receiving the highest overall score is to be recommended, regardless of price ranking subject to relative price evaluation.
Qualitative Weighting	The evaluation process will focus on the qualitative assessment, eliminate the submissions that do not meet the predetermined minimum acceptable qualitative score and then recommend the lowest priced acceptable offer.

Other alternative tender evaluation methods may be considered and selected, particularly for highly complex or non-traditional contracts, as determined through the RFT process and approved by the Director Corporate Services.

The tender documentation will reflect the evaluation method selected. The evaluation method nominated in the Tender and Contract Establishment Request Form cannot be subsequently changed without the approval of the Director Corporate Services.

The table below summarises the most suitable tender evaluation method for different types of procurement.

Procurement Type	Evaluation Method	Evaluation Element	Weighting
Where price is the most important factor e.g. simple standard goods	Least Cost Comparative	Qualitative	No
		Price	No
Where both price and overall capability are important, but to different degrees	Comprehensive Weighting	Qualitative	Yes
		Price	Yes
For highly technical or difficult work where the overall ability to deliver is more critical than price	Qualitative Weighting	Qualitative	Yes
		Price	No

### A. LEAST COST COMPARATIVE METHOD

Least cost method is to be used in evaluating tenders in which the requirements are well defined with sufficient precision that leaves no room for any material variation in the specifications of products or services provided.

In such cases the price offered by complying tenders will be the deciding factor and a preliminary assessment will be based on the lowest price offered, subject to a Value for Money assessment and sufficient funds being available as shown in the following example:

Respondent	Price	Rank	Assessment Result
A	\$535,000	2	
B	\$600,000	3	
C	\$499,000	1	Lowest Bid

Respondent C has put in the lowest bid so would normally be preferred. If detailed assessment of the bid has, however, revealed any concerns or risks identified with Respondent C, further assessment, which

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may include post tender submissions and/or post tender meetings, must be conducted to ensure these are addressed to the City's satisfaction and that value for money is maintained. Where the variance between the two lowest price submissions is less than 3% or \$15,000, more detailed assessments of both tenderers must be undertaken, which may include post tender meetings and/or submissions, as determined by the evaluation panel to ensure that the City derives maximum value for money.

This method is most appropriate in procurement of fairly standard and simple products or services, such as supply and delivery of sand, supply of fuel, supply and delivery of dog bags, etc.

**B. COMPREHENSIVE WEIGHTING METHOD**

The comprehensive weighting method is to be used only to evaluate tenders where price and quality are both important, but to differing degrees. Quality may vary according to product specifications or the experience, capacity and past performance of the supplier or service provider, e.g. mechanical or electrical maintenance services, laying of asphalt, supply and laying of concrete kerbing, landscaping and the like. However, price is also key because quality and output variations between suppliers should not be significant for such services or products.

In this case both the qualitative criteria and price are to be weighted and the recommended supplier will be the Respondent receiving the highest weighted score, subject to budget available. Price weighting would be expected to lie between 20% and 40%. A proposed price weighting in excess of 40% may indicate that the comprehensive weighting method may not be appropriate, and the least cost method or other similar alternative may be preferable. Where price weighting proposed is less than 20%, its importance may need to be reviewed and the qualitative weighting method considered as the more appropriate evaluation alternative.

Scores in the assessment are allocated on a scale of zero to ten as set out below.

Rating	Definition
10	Highly convincing and credible. Response demonstrates <b>exceptional capability</b> relevant to the requirements of the Evaluation Criterion and could not reasonably be improved upon. Comprehensively documented with all claims fully substantiated. Insignificant risk.
9	Highly convincing and credible. Response demonstrates <b>outstanding capability</b> relevant to the requirements of the Evaluation Criterion. Documentation provides complete details. All claims adequately demonstrated and substantiated. Insignificant risk.
8	Response complies, is convincing and credible. Response demonstrates <b>excellent capability</b> relevant to the requirements of the Evaluation Criterion. Some minor lack of substantiation but the Respondent's overall claim is supported. Low risk.
7	Response complies, is convincing and credible. Response demonstrates <b>very good capability</b> relevant to the requirements of the Evaluation Criterion. Minor uncertainties and shortcomings in the Respondent's claims or documentation. Low risk.
6	Response complies and is credible but not completely convincing. Response demonstrates <b>adequate capability</b> relevant to the requirements of the Evaluation Criterion. Respondent's claims have some gaps. Low risk.
5	Credible but barely convincing. Response demonstrates only a <b>marginal capability</b> relevant to the requirements of the Evaluation Criterion. Response has minor omissions. Medium risk.
4	<b>Barely convincing.</b> Response has shortcomings and deficiencies in demonstrating the Respondent's capability relevant to the requirements of the Evaluation Criterion. Medium risk.
3	<b>Unconvincing.</b> Response has significant flaws in demonstrating the Respondent's capability relevant to the requirements of the Evaluation Criterion. Medium risk.
2	<b>Very Unconvincing.</b> Response has major flaws, and <b>fundamental details are lacking.</b> Minimal information has been provided to demonstrate the Respondent's capability relevant to the requirements of the Evaluation Criterion. High risk.

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Rating	Definition
1	Response is <b><u>totally unconvincing</u></b> , and requirements have not been met. Response has inadequate information to demonstrate the Respondent's capability relevant to the requirements of the Evaluation Criterion. High risk.
0	Respondent was <b><u>not evaluated</u></b> as it did not provide any requested information and/or contravened nominated restrictions. High risk.

Each member of the assessment panel independently assesses each submission and scores each component of each of the criteria. The panel scores are then averaged for each component, totalled and averaged again to arrive at one cumulative score for each criterion as in the following example. Alternatively, if consensus scoring was agreed to be used by the TEP, then the consensus scores are totalled and averaged to arrive at one score for each criterion.

Qualitative Criteria	Weighting	Respondent A			
		Assessor 1	Assessor 2	Assessor 3	Av. Score
Capacity	25%				
History & number of staff		6	7	6	6.33
Structure, key personnel		8	7	6	7
Equipment		6	6	6	6
Ability to provide additional resources		5	6	6	5.67
Safety		6	8	6	6.67
Capacity Total Average Score					6.33
Experience	20%				
Scope & outcomes		8	7	8	7.67
Period /dates of Contracts		4	4	4	4
Referees (Minimum 3)		0	0	0	0
Experience Total Average Score					3.89
Demonstrated understanding	20%	4	6	7	5.67
Social & economic effects on the local community	5%	3	3	3	3

The average raw qualitative scores are then converted to a weighted score out of 100 by dividing the raw score by 10 (being the maximum possible score) and then multiplying by the percentage weighting assigned to the criterion in question.

In the example above, the weighting assigned to capacity is 25%. The average raw score achieved of 6.33 is to be divided by 10 and then multiplied by 25 to derive the capacity weighted score of 15.83 out of 100. The same process applies to the raw scores for other qualitative criteria.

Where subsidiary weights are assigned to separate components within an overall criterion, the same principle applies. Sub-weightings must be considered carefully before being assigned.

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**Tenders for Procurement of Goods and Services**

Tender prices must also be converted to weighted scores out of 100.

The lowest price submission receives the maximum possible weighted percentage assigned to price. The weighted scores assigned to other tender prices are then expressed as functions of the lowest price by dividing the lowest price by each tender price and multiplying the result by the percentage weighting assigned to price.

$$\text{Weighted Price Score} = \frac{\text{lowest tendered price}}{\text{Tendered price}} \times \text{price weighting \%}$$

In the example set out below and based on a 30% weighting assigned to price, the respondents' weighted price score is arrived at as follows:

Respondent	Price	Weighted Price Score
A	\$499,000	<b>30</b>
B	\$535,000	$(499,000/535,000) \times 30 = \mathbf{27.9}$
C	\$600,000	$(499,000/600,000) \times 30 = \mathbf{24.96}$

At the completion of the qualitative and price assessment the weighted scores of each are calculated and a final score out of 100 is achieved as set out in the example in the following table.

Criteria & Weighting	Respondent A		Respondent B		Respondent C	
	Score	Weighted Score	Score	Weighted Score	Score	Weighted Score
<b>Qualitative</b>						
Capacity 25%	6.33	$(6.33/10) \times 25 = \mathbf{15.83}$	7	$(7/10) \times 25 = \mathbf{17.5}$	7	$(7/10) \times 25 = \mathbf{17.5}$
Experience 20%	3.89	$(3.89/10) \times 20 = \mathbf{7.78}$	6	$(6/10) \times 20 = \mathbf{12}$	7	$(7/10) \times 20 = \mathbf{14}$
Demonstrated Understanding - 20%	5.67	$(5.67/10) \times 20 = \mathbf{11.34}$	6	$(6/10) \times 20 = \mathbf{12}$	7	$(7/10) \times 20 = \mathbf{14}$
Social/ Economic Effects- 5%	3	$(3/10) \times 5 = \mathbf{1.5}$	5	$(5/10) \times 5 = \mathbf{2.5}$	0	<b>0</b>
<b>Total Qualitative</b>		<b>36.45</b>		<b>44.00</b>		<b>45.50</b>
<b>Price 30%</b>	N/A	<b>30.00</b>		<b>27.90</b>		<b>24.96</b>
<b>Total of 100</b>		<b>66.45</b>		<b>71.90</b>		<b>70.46</b>

In the example above the offer from Respondent B would be recommended as the preferred tenderer, provided that it achieves a pass score in the safety assessment.

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**Tenders for Procurement of Goods and Services****Relative Price Evaluation**

The comprehensive weighting method carries the obvious risk that a bid scoring lower on qualitative criteria but priced significantly better than other submissions may receive the maximum weighting which outweighs the lower non-price score achieved. This may result in distorted scores being assigned to bids. It is for this reason that price weighting must be carefully considered and assigned. Where the lowest price submitted is 15% or more below the median price of the other submissions, further investigation/assessment should be performed, which may include post tender meetings or submissions, as determined by the evaluation panel to ascertain the reason for the price differential from a value for money perspective. If the reasonableness of this lowest price submitted cannot be substantiated through such further investigation, the submission is to be bypassed in favour of the lowest bid from the remaining tenderers, subject to final investigation and assessment.

In the previous example cited, the lowest price was by Respondent A, namely \$499,000. The median price of the other submissions is \$567,500. Respondent A's price is therefore \$68,500, or 12%, below this median value. As this is less than the threshold of 15%, no further relative price evaluation is required to establish value for money.

If, however, Respondent A had submitted a price of \$480,000 this would trigger further investigation as this price is 15% less than the median price of the other submissions. The nature and extent of such further investigation is dependent on the particular circumstances and risk associated with the tender in question.

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Tenders for Procurement of Goods and Services

**C. QUALITATIVE WEIGHTING METHOD**

The qualitative weighting method is to be used in evaluating tenders for goods or services that are relatively more technical, complex or high risk services where the technical ability, capacity, quality and timing of delivery are the most critical procurement aspects, e.g. construction contracts, complex consultancy services.

In this case the evaluation is a two stage process where the qualitative criteria are weighted and scored first without any reference to the price submission. A predetermined minimum acceptable pass score is set prior to the assessment as nominated by the Business Unit in the Contract Establishment Request Form at the commencement of the tender process. The minimum acceptable score in each case is determined with reference to minimum acceptable quality requirements, among others, and the premium the City is prepared to pay for higher quality deliverables. Setting a minimum score higher than 50% must be properly substantiated and approved by the Director Corporate Services. In the majority of situations, a minimum acceptable score of 50% should be adequate for qualitative criteria.

The qualitative criteria of each submission are assessed using the same scoring scale of 0 to 10 as in the comprehensive weighting method. Each member of the assessment panel independently assesses each submission and scores the elements of each of the criteria. The panel scores are then averaged for each element, then totalled and averaged again to arrive at one score for each criterion. Alternatively, if consensus scoring was agreed to be used by the TEP, then the consensus scores are totalled and averaged to arrive at one score for each criterion.

The average qualitative scores are then converted to a weighted score out of 100 points. Any offer that achieved a qualitative score below the minimum acceptable pass score would be eliminated from further consideration.

In the example set out below the minimum pass score is set at 60. Any submission that does not achieve the minimum weighted qualitative score of 60 will be eliminated and not considered any further.

The second stage of the evaluation process is conducted after completing the qualitative scoring and eliminating the submissions that did not qualify for further consideration. At the second stage the prices offered are ranked based on lower to higher and the lowest price will be ranked first.

The following two tables show an example of this type of evaluation.

Criteria & Weighting	Respondent A		Respondent B		Respondent C	
	Score	Weighted Score	Score	Weighted Score	Score	Weighted Score
Capacity- 35%	6.33	$(6.33/10) \times 35 = 22.16$	3.5	$(7/10) \times 35 = 24.5$	3.5	$(7/10) \times 35 = 24.5$
Experience- 30%	3.89	$(3.89/10) \times 30 = 11.67$	3	$(6/10) \times 30 = 18$	3.5	$(7/10) \times 30 = 21$
Demonstrated Understanding 30%	5.67	$(5.67/10) \times 30 = 17.01$	3	$(6/10) \times 30 = 18$	4	$(8/10) \times 30 = 24$
Social/ Economic Effects 5%	3	$(3/10) \times 5 = 1.5$	2.5	$(5/10) \times 5 = 2.5$	0	0
<b>Total Weighted Score of 100</b>		<b>52.34</b>		<b>63.0</b>		<b>69.5</b>

In the above case, respondent A would be eliminated at the conclusion of stage one of the assessment and will not be considered any further as it did not meet the minimum acceptable score of 60.

The prices submitted by other respondents will then be considered and ranked only and the assessment result and recommendation will be as follows:

CM REF: INT20/28299

**Tenders for Procurement of Goods and Services**

<b>Respondent</b>	<b>Qualitative score of 100</b>	<b>Total Cost</b>	<b>Price Ranking</b>	<b>Assessment Result</b>
A	Failed			
B	63	\$535,000	1	Preferred
C	69.5	\$575,000	2	

As capacity, quality or technical ability were critical to the tender assessment; selection would be based on the lowest priced offer that achieves or exceeds the minimum acceptable weighted qualitative score set at the time of tender establishment and before the evaluation process began.

In the above example Respondent B would be recommended, subject to achieving a pass score in the safety assessment.



# Integrity Framework 2022



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





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## Acknowledgement

The City of Joondalup acknowledges that its *Integrity Framework* is based upon the Public Sector Commission's Integrity Framework resources and thanks the Public Sector Commission for its guidance in development of this document.



# 1. Introduction

The City of Joondalup delivers a wide variety of services, programs and facilities for its community and there is a rightful expectation that these are delivered and managed in an efficient and effective way. As custodians of public funds and personal information, the City must establish and maintain the trust of its community in the use of those funds and information, to deliver an overall benefit for the entire community.

This trust is established and maintained by ensuring those that work in the City of Joondalup (being elected members, employees, contractors, suppliers and volunteers) operate with integrity and behave in an ethical, transparent and accountable way. Integrity is a cornerstone of good governance and organisations that act with integrity, incidences and impacts of misconduct, fraud and corruption are not only minimised, but organisational benefits can be achieved such as improved productivity and efficiency; positive working relationships; and effective collaboration and engagement.

The City's *Integrity Framework* is aligned to the City's *Strategic Community Plan 2032* (and specifically its key result area of Leadership) and aims to guide the organisation in providing the highest level of integrity for its community, and brings together the instruments, processes and structures within the organisation that foster integrity and help prevent corruption and misconduct from taking place. It also takes into account factors and conditions for implementation that influence within, and outside of, the City's operations.

The City of Joondalup commits to ensuring all elected members, employees, contractors, suppliers and volunteers understand and operate within the *Integrity Framework* and that the elements contained within are continuously enhanced and reviewed so that integrity forms part of the City's day-to-day business, decision-making and operations.

**James Pearson**  
Chief Executive Officer



## 2. Integrity Model

### 2.1 Defining Integrity

The Organisation for Economic Co-operation and Development (OECD) in its *2020 Public Integrity Handbook* defines public integrity as the “consistent alignment of, and adherence to, shared ethical values, principles and norms for upholding and prioritising the public interest over private interests in the public sector”.

Integrity is important in ensuring the WA Government (including local government) is trusted and accountable for its actions. It is achieved by:

- Serving the public interest.
- Using powers responsibly, for the purpose and in the manner for which they were intended.
- Acting with honesty and transparency, making reasoned decisions without bias by following fair and objective processes.
- Preventing and addressing improper conduct, disclosing facts without hiding or distorting them.
- Not allowing decisions or actions to be influenced by personal or private interests.

The City's primary values help define the minimum standards of conduct and integrity to be observed by the City of Joondalup elected members, employees, contractors and suppliers and are expressed in the following legislated Codes of Conduct general principles:

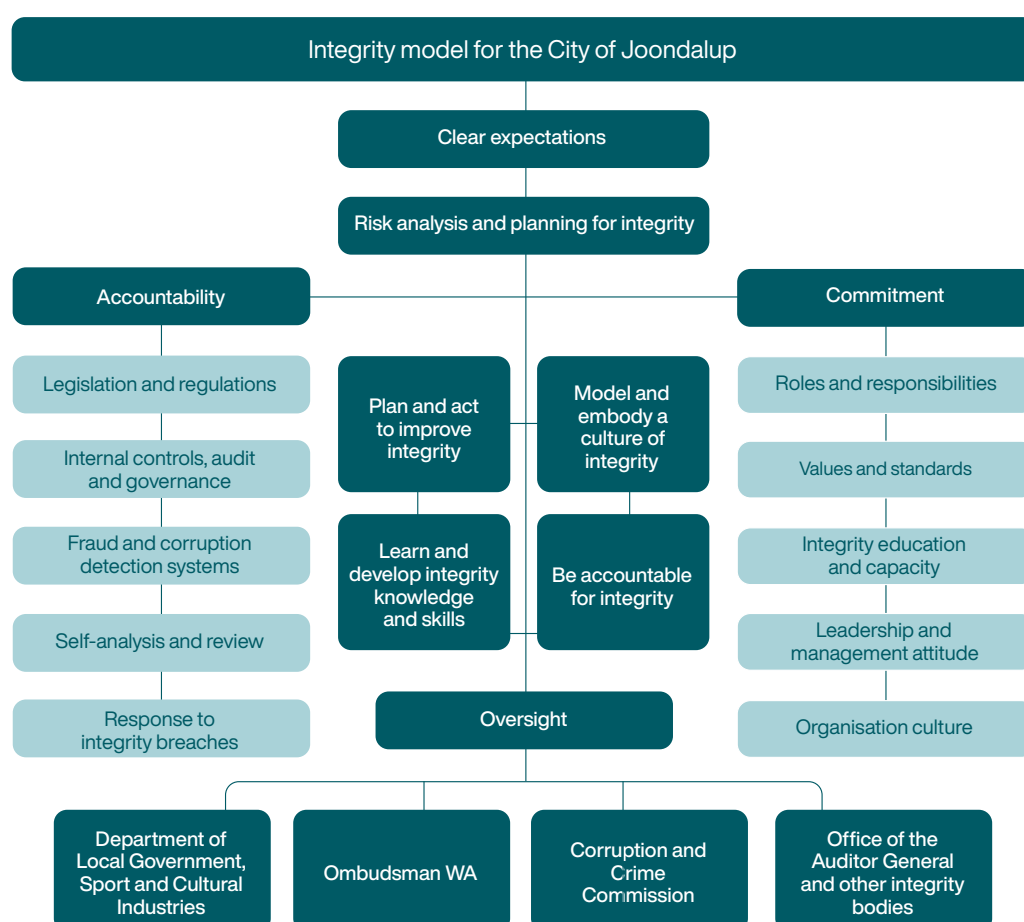
**Personal integrity:** We act with reasonable care and diligence and make decisions that are honest, fair, impartial and timely, and consider all relevant information.

**Relationships with others:** We treat people with respect, courtesy and sensitivity and recognise their interests, rights, safety and welfare.

**Accountability:** We use the resources of the City in a responsible and accountable manner that ensures the efficient, effective and appropriate use of human, natural, financial and physical resources, property and information.

### 2.2 Integrity Model for the City of Joondalup

The *Integrity Model for the City of Joondalup* provides an integrated representation of the City's Integrity Framework. Overall, City integrity is reliant on the two key ideologies of *Commitment and Accountability* that must be exercised continually by all components of the organisation.





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With regard oversight agencies and their particular role relevant to local government:

**The Department of Local Government, Sport and Cultural Industries** aims to help to improve the capacity of local governments to respond to community demands and expectations, and improve levels of accountability and legislative compliance.

**Ombudsman WA** is an impartial and independent agency that receives, investigates and resolves complaints about State Government agencies, local governments and universities, and undertakes major investigations with all the powers of a standing Royal Commission.

**Corruption and Crime Commission** assesses, investigates and exposes serious misconduct in the

Western Australian public sector; as well as encouraging public sector agencies to implement practices that minimise their risk of serious misconduct.

**Public Sector Commission** works to promote and maintain integrity, conduct and ethics in the Western Australian public sector; as well as assessing minor misconduct.

**Office of the Auditor General** supports accountability and continuous improvement in the public sector through an informed Parliament and community. Its mission is to serve the public interest through independent auditing and reporting on State and local government finances and performance.



## 3. Plan and Act to Improve Integrity

The ability to plan and act to improve integrity is the foundation of the City of Joondalup's *Integrity Framework*. It is where the City identifies, develops and implements the organisation's approach to managing integrity based on identified risks.

### 3.1 Roles and Responsibilities

The City's *Integrity Framework* includes areas with responsibilities for defining, supporting, controlling and enforcing integrity across the organisation. These include core areas, such as the Council and Committees or individuals responsible for implementing integrity policies, as well as complementary areas, whose primary purpose

is not to directly support the City's *Integrity Framework*, but without whom the framework could not operate.

Assigning clear responsibilities within the City's operations is necessary to ensure co-operation and to avoid overlaps and prevent fragmentation.

Responsibilities include developing, implementing, monitoring and evaluating integrity standards and tools, and are carried out by not only those areas within the organisation but outside the organisation.

The following table details the various bodies or positions within the City of Joondalup that are key components of the City's integrity system:

Body or position	Integrity Role
<b>Council</b>	<ul style="list-style-type: none"> <li>Operates in accordance with the Local Government Act 1995 and relevant legislation, including in relation to integrity and governance.</li> <li>Sets integrity expectations and embodies these through the City's: <ul style="list-style-type: none"> <li>Values.</li> <li>Code of Conduct for Council Members, Committee Members and Candidates.</li> <li>Risk Management Framework.</li> <li>Governance Framework.</li> </ul> </li> <li>Approves policy documents as they relate to integrity matters.</li> <li>Sets and endorses delegations for specific functions to the Chief Executive Officer and relevant officers.</li> <li>Endorses the City's Annual Compliance Audit Return.</li> <li>Endorses the Terms of Reference of the Audit and Risk Committee.</li> </ul>
<b>Audit and Risk Committee</b>	<ul style="list-style-type: none"> <li>Acts in accordance with its Terms of Reference and Audit and Risk Committee Charter.</li> <li>Monitors the effectiveness of the City's Risk Management Framework including integrity risks.</li> <li>Receives reports on strategic integrity matters.</li> <li>Assesses the adequacy of the internal audit plan and the three-year audit plan.</li> <li>Considers reports by the Office of Auditor General including but not limited to the annual external audit.</li> <li>Reports to Council on integrity risks, audit activities and integrity controls.</li> </ul>
<b>Elected Members</b>	<ul style="list-style-type: none"> <li>Adhere to and demonstrate the highest level of commitment and conduct for integrity.</li> <li>Model a culture of integrity through the active demonstration of the City's values and by communicating the importance of meeting integrity standards.</li> <li>Participate in the Council's decision-making processes in an impartial and unbiased manner.</li> <li>Manage, declare and record gifts and conflicts of interest.</li> </ul>

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Body or position	Integrity Role
<b>Chief Executive Officer</b>	<ul style="list-style-type: none"> <li>• Operates in accordance with the Local Government Act 1995 and relevant legislation, including in relation to integrity and governance.</li> <li>• Adheres to and demonstrates the highest level of commitment and conduct for integrity.</li> <li>• Responsible for the agenda, implementation and enforcement of integrity policies for the City.</li> <li>• Drives a culture of integrity through the active demonstration of the City's values and by communicating the importance of meeting integrity standards.</li> <li>• Participate in the City's decision-making processes in an impartial and unbiased manner.</li> <li>• Provides leadership in the prevention, detection and response to misconduct.</li> <li>• Reports misconduct activities or suspected activities to external oversight bodies.</li> <li>• Promotes effective risk management and governance across the organisation.</li> <li>• Manages, declares and records gifts and conflicts of interest.</li> </ul>
<b>Executive Management Team (Directors and Managers)</b>	<ul style="list-style-type: none"> <li>• Operate in accordance with the Local Government Act 1995 and relevant legislation, including in relation to integrity and governance.</li> <li>• Adhere to and demonstrate the highest level of commitment and conduct for integrity.</li> <li>• Drive a culture of integrity through the active demonstration of the City's values and by communicating the importance of meeting integrity standards.</li> <li>• Participate in the City's decision-making processes in an impartial and unbiased manner.</li> <li>• Ensure optimal, and fit for purpose, operational performance to deliver the products, services and programs that benefit the community.</li> <li>• Implement and oversee integrity policies and practices and promote ethical behaviour.</li> <li>• Manage and control integrity risks including recording actions and controls in developed risk registers.</li> <li>• Provide advice and support to staff on integrity matters.</li> <li>• Manage, declare and record gifts and conflicts of interest.</li> <li>• Manage and control integrity risks related to conflicts of interest related to the business of the Directorate/ Business Unit.</li> </ul>
<b>Manager Governance</b>	<ul style="list-style-type: none"> <li>• Monitors and evaluates the effectiveness of the City's Integrity Framework, including biennial review.</li> <li>• Implements core integrity instruments, processes and systems around governance, codes of conduct; delegations of authority, accountability and ethical decision-making.</li> <li>• Ensures compliance with legislative provisions, policies and procedures related to governance practices.</li> <li>• Delivers ethical training and awareness.</li> <li>• Maintains public registers.</li> <li>• Maintains the Delegations of Authority Manual.</li> <li>• Manages, declares and records gifts and conflicts of interest.</li> </ul>

Body or position	Integrity Role
<b>Manager Audit, Risk and Executive Services</b>	<p><b>Risk management</b></p> <ul style="list-style-type: none"> <li>• Establishes and maintains the City's Strategic Risk Profile with input from the Council and Executive Management Team.</li> <li>• Coordinates detailed strategic and operational risk reports for the Audit and Risk Committee as required.</li> <li>• Establishes an internal control system and risk management framework to reduce organisational vulnerability to fraud and corruption.</li> <li>• Implements core integrity instruments, processes and systems around gift declarations, risk, fraud and misconduct control.</li> <li>• Oversees the City's public interest disclosure framework and other external misconduct reporting mechanisms.</li> <li>• Maintains the City's Fraud, Corruption and Misconduct Control Policy.</li> <li>• Maintains the City's Business Continuity Plan and Policy.</li> <li>• Delivers risk management training and awareness.</li> <li>• Manages, declares and records gifts and conflicts of interest.</li> </ul> <p><b>Internal audit</b></p> <ul style="list-style-type: none"> <li>• Establishes an independent and objective internal audit function to provide assurance on the City's systems of internal control, compliance and risk management including providing recommendations to improve mitigating actions and controls.</li> </ul>
<b>Manager Human Resources</b>	<ul style="list-style-type: none"> <li>• Prepares, publishes and implements complementary integrity instruments, processes and systems around human resource practices including recruitment and selection; performance review; workforce management; induction and training; complaints and grievances.</li> <li>• Ensures employee induction covers integrity expectations.</li> <li>• Ensures compliance with legislative provisions, policies and procedures related to human resources practices including breach of discipline.</li> <li>• Oversees organisational employee surveys.</li> <li>• Oversees the development of corporate training budgets dependant on organisational requirements.</li> <li>• Manages, declares and records gifts and conflicts of interest.</li> </ul>
<b>Manager Financial Services</b>	<ul style="list-style-type: none"> <li>• Prepares, publishes and implements complementary integrity instruments, processes and systems around purchasing and procurement; tendering and contracts; and utilisation of the City's finances.</li> <li>• Ensures compliance with legislative provisions, policies and procedures related to financial management and reporting, procurement, and financial audits.</li> <li>• Ensures due diligence when engaging contractors and suppliers to deal with integrity matters to ensure they have the necessary qualifications, skills and/or experience (eg through reference and qualification checks).</li> <li>• Maintains the City's Statement of Business Ethics.</li> <li>• Manages, declares and records gifts and conflicts of interest.</li> </ul>

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Body or position	Integrity Role
<b>Manager Strategic and Organisational Development</b>	<ul style="list-style-type: none"> <li>• Maintains internal and external policy frameworks.</li> <li>• Ensures accountability, compliance with relevant legislation and the contractual obligations applicable to each non-recurrent grant.</li> <li>• Ensures policies and procedures are reviewed and updated in accordance with the policy register and relevant legislative changes.</li> <li>• Manages, declares and records gifts and conflicts of interest.</li> </ul>
<b>Manager Information Technology</b>	<ul style="list-style-type: none"> <li>• Prepares, publishes and implements complementary integrity instruments, processes and systems around ICT use and security.</li> <li>• Manages appropriate security testing of ICT systems and develops responses to identified security risks.</li> <li>• Ensures employees are appropriately educated in ICT use and security practices.</li> <li>• Manages, declares and records gifts and conflicts of interest.</li> </ul>
<b>Manager Asset Management</b>	<ul style="list-style-type: none"> <li>• Prepares, publishes and implements complementary integrity instruments, processes and systems around asset management; and disposal of assets.</li> <li>• Manages, declares and records gifts and conflicts of interest.</li> </ul>
<b>Manager Communications and Stakeholder Relations</b>	<ul style="list-style-type: none"> <li>• Schedules specific integrity messages as directed from the Chief Executive Officer and Executive Management Team.</li> <li>• Ensures corporate messages are consistent with the Council and Chief Executive Officer's approach to integrity and stated expectations.</li> <li>• Coordinates effective complaint handling systems, and liaison with the Ombudsman WA as required.</li> <li>• Assists the Manager Governance and Manager Audit, Risk and Executive Services maintain the internet and intranet regarding integrity information and resources.</li> <li>• Manages, declares and records gifts and conflicts of interest.</li> </ul>
<b>Internal Auditor</b>	<ul style="list-style-type: none"> <li>• Operates in accordance with the Local Government Act 1995 and relevant legislation, including in relation to integrity and governance.</li> <li>• Plans and conduct audits that address integrity risks.</li> <li>• Reports integrity risks to the Chief Executive Officer and the Audit and Risk Committee.</li> <li>• Participates in the City's decision-making processes in an impartial and unbiased manner.</li> <li>• Manages, declares and records gifts and conflicts of interest.</li> </ul>
<b>Integrity Officer</b>	<ul style="list-style-type: none"> <li>• Operates in accordance with the Local Government Act 1995 and relevant legislation, including in relation to integrity and governance.</li> <li>• Provides an independent and objective internal investigation function relating to public interest disclosures, fraud and corruption, and other relevant complaints.</li> <li>• Participates in the City's decision-making processes in an impartial and unbiased manner.</li> <li>• Manages, declares and records gifts and conflicts of interest.</li> </ul>



Body or position	Integrity Role
<b>Employees</b>	<ul style="list-style-type: none"> <li>• Operate in accordance with the Local Government Act 1995 and relevant legislation, including in relation to integrity and governance.</li> <li>• Adhere to and demonstrate the highest level of commitment and conduct for integrity.</li> <li>• Reflect the City's values and integrity standards.</li> <li>• Participate in the City's decision-making processes in an impartial and unbiased manner.</li> <li>• Comply with core and complementary instruments, policies, processes and systems developed for organisational integrity.</li> <li>• Apply appropriate practices for risk management, internal controls, and fraud and corruption prevention.</li> <li>• Report misconduct, corruption or fraud through established reporting mechanisms.</li> <li>• Participate in training and development opportunities to enhance integrity knowledge and capacity.</li> <li>• Manage, declare and record gifts and conflicts of interest.</li> </ul>
<b>Contractors and Suppliers</b>	<ul style="list-style-type: none"> <li>• Adhere to the City's Statement of Business Ethics.</li> <li>• Adhere to relevant legislative obligations as detailed in contracts of engagement.</li> <li>• Comply with core and complementary instruments, policies, processes and systems developed for organisational (and contractor) integrity.</li> <li>• Manage, declare and record conflicts of interest.</li> </ul>
<b>Volunteers</b>	<ul style="list-style-type: none"> <li>• Adhere to the City's Statement of Business Ethics.</li> <li>• Adhere to relevant legislative obligations as detailed in contracts of engagement.</li> <li>• Comply with core and complementary instruments, policies, processes and systems developed for organisational (and volunteer) integrity.</li> <li>• Manage, declare and record conflicts of interest.</li> </ul>

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### 3.2 Legislation and Regulations

The *Local Government Act 1995* is the key legislative instrument which provides the City of Joondalup the power to make policies, plans and strategies, and local laws, which are generally used to establish and maintain the quality of life and amenity in keeping with community expectations.

The City's legislative, policy and planning instruments are available on the City's website.

The City is also responsible for administering a number of State and Commonwealth Acts and regulations. Some of the more significant pieces of legislation are included within the City's *Record Keeping Plan 2020* available on the City's website.

The City also has obligations under State legislation to report matters related to integrity including, but not limited to:

- Corruption, Crime and Misconduct Act 2003.
- Financial Management Act 2006.
- State Records Act 2000.

### 3.3 Risk Analysis and Planning for Integrity

#### Risk Management Policy

The City's [Risk Management Policy](#) describes the commitment to understanding and managing the City's risk environment, fostering a positive risk culture and taking measures to ensure risks are contained to acceptable levels in accordance to its remit and responsibilities.

The policy and framework are aligned with the Australian Standard/International Organisation for Standardisation (AS/NZS ISO) 31000:2018 Risk Management – Guidelines.

#### Risk Management Framework

The City's *Risk Management Framework* supports and expands on the *Risk Management Policy* and 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.

#### Risk Management Guidelines

The City's internal *Risk Management Guidelines* provide detailed application guidance for the Framework. This includes procedures, practices, responsibilities and activities (including their sequence and timing).

### 3.4 Internal Controls, Audit and Governance

The City undertakes activities and implements internal controls to minimise its integrity risks including the following:

#### Governance Framework

The City's [Governance Framework](#) has been adopted to help define the City's process by which decisions are taken and implemented, the process by which the City goes about achieving its goals and producing its outputs and the process by which the organisation is directed, controlled and held to account.

#### Policies, Protocols, Procedures and Processes

To ensure policies, protocols, procedures and processes are current, the City's policies, procedures and processes assign responsible Directorates and review dates.

The City's [Policy Register](#) is available on the City's website. Business critical processes and procedures are documented in the internal process documentation system Promapp.

#### Supervision

Directors and Managers are expected to ensure employees adhere to governance policy frameworks, complete mandatory training and demonstrate behaviours required by the *Code of Conduct for Employees*.

#### Financial Management Controls

The following Financial Management Controls are in place:

- Financial Management Information Systems including automated controls to ensure adequate segregation of duties/responsibilities with regard endorsed delegations related to procurement and authorisation of payments.
- Monthly reconciliation and exception reporting.
- Grant acquittals process.
- Financial management guidelines, protocols and processes.
- Appointment of external auditor to undertake reviews of financial management systems and procedures.

### Human Resource Management Controls

The following Human Resource Management Controls are in place;

- Employment screening including for certain positions a requirement to provide a national police clearance certificate and/or working with children checks before employment is offered.
- New employees being required to complete a comprehensive induction process which includes information on integrity and the requirement to notify the City in the event they are charged with a serious criminal offence or an offence involving fraud or dishonesty.
- Employees who hold positions categorised as 'Positions of Trust' being required to produce a national police clearance certificate and/or working with children checks from time to time.
- Undertaking secondary employment being required to be approved.
- Probing for moral judgement capacities at interview by asking questions around ethical predicaments.
- Reference checks of applicants and a level of questioning based on the skills, knowledge and experience required for the position.
- Qualification checks and presentation of original documentation.

The City's annual performance review process is also a mechanism for employees and supervisors to reinforce integrity standards; raise any integrity issues; or identify any training and development needs.

### Information Management Controls

The following Information Management Controls are in place:

- The City's *Record Keeping Plan* details the management of State records to meet obligations under the State Records Act 2000.
- The *Code of Conduct for Council Members*, *Committee Members and Candidates* and *Code of Conduct for Employees* contain provisions related to the use of information.
- Access to corporate records by employees and contractors being in accordance with designated access and security classifications as determined by the Records Services Coordinator and the City's *Records Management Policy*.
- Access to the City's records by the general public being in accordance with the *Freedom of Information Act 1992*, or other written laws.

- Access to the City's records by elected members and committee members being via the Chief Executive Officer in accordance with Section 5.92 of the *Local Government Act 1995*.
- The *Online Services Usage Protocols* (for elected members and employees) provides guidance on the acceptable business use and personal use when using the City's online services. It provides guidance on logon accounts, password and email etiquette.
- Liaises with the Ombudsman WA in relation to effective complaint handling, investigations and record keeping.

### Risk Management

The City takes integrity risk management seriously and it is embedded into its overall approach to risk described at Part 3.3 *Risk Analysis and Planning for Integrity*.

### Audit

The internal audit functions are maintained in line with the Local Government Act 1995, Local Government (Audit) Regulations 1996 and Local Government (Financial Management) Regulations 1996. These functions are described in the City's Audit and Risk Committee Charter.

The internal audit function helps maintain and improve organisational effectiveness by providing risk-based and independent assurance advice to the Chief Executive Officer and Audit and Risk Committee.

The internal audit function also assists the Chief Executive Officer achieve business objectives by systematically collecting and reporting information through the Audit and Risk Committee. This includes risk exposure and management, internal controls, compliance, resource and program management, and organisation performance against statutory obligations and best practice principles.

The internal audit function also ensures the appointment of external auditors to undertake reviews of risk management, internal control and legislative compliance.

A risk-based internal audit plan is prepared annually by the internal audit function. The plan sets audit topics and identifies resources required for the year in alignment with the City's objectives and key risks. It is presented to the Audit and Risk Committee. The Chief Executive Officer may vary the plan and change priorities.

The Committee provides advice to the Council on the effectiveness of the risk management and governance frameworks, and external accountability obligations.

The Committee has an independent member appointed by the Council.

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### 3.5 Fraud and corruption detection systems

The City's [\*Fraud, Corruption and Misconduct Control Policy\*](#) objective is to communicate the City's zero tolerance approach and response actions to fraudulent and corrupt conduct within the performance of its functions and interactions with contractors and suppliers, the community and all other stakeholders of the City.

The Policy establishes the City's approach to preventing, detecting and responding to reports of suspected fraud, corruption and misconduct. The City acknowledges that the audit function, staff, supplier and contractor reporting of suspected fraud and corruption, set out in the Statement of Business Ethics, contributes to detection activities.

Financial management detection systems include:

- Monthly data and exception issues analysis/reporting.
- Monthly reconciliations and review of exception reports.

- Fortnightly payroll certification reports and monthly payroll data integrity checking.
- Internal audit reviews.
- Annual statutory external audit by the office of the Auditor General and reporting in the City's Annual Report.
- Annual budget process and mid-year review to critically review and examine forward budget projections.
- Annual review of the Strategic Financial Management Plan.

Governance detection systems includes:

- Regular review of conflicts of interest and gifts and hospitality declarations.
- Regular review of registers to ensure compliance with legislative/policy requirements.

Fraud and misconduct detection systems include:

- Live data analysis using accounts payable, contracts and payroll data.



## 4. Model and Embody a Culture of Integrity

### 4.1 Values and Culture

An effective integrity framework holds an organisation to a more robust standard of ethics and morals. Organisational integrity needs to be based on the concept of self-governance in accordance with a set of guiding principles and ethics. To build an ethical organisation, where all parts of it behave with integrity, a strong set of values must be enshrined in day-to-day activities and operations.

The City's *10 Year Strategic Community Plan (Joondalup 2032)* articulates the City's vision as being 'A global City: bold creative and prosperous'. In alignment with this vision the City believes the following primary values should be inherent within any well-functioning and community-driven organisation:

- **Transparent** – We facilitate appropriate levels of scrutiny by recording our decisions and making them accessible.
- **Accountable** – We accept responsibility for our actions and decisions that are within our control.
- **Honest** – We earn and sustain public trust by being honest and open in all our actions and always acting in the public interest.
- **Ethical** – We demonstrate moral behaviour that is free from corruption.
- **Respectful** – We treat people fairly and objectively and without discrimination.
- **Sustainable** – We manage our natural resources and public assets adaptively, ensuring equitable outcomes for future generations.
- **Professional** – We demonstrate strong skills and good judgment and behaviour in delivering our services.

Integrity is supported when elected members, employees, contractors, suppliers and volunteers model the City's values. These values shape the City's culture and are the fundamental beliefs the City considers to be important; are relatively stable over time; and define expected elected member, employee, contractor and volunteer attitudes and behaviour. Ethical conduct and day to day decision-making is built on the City's primary values.

A positive culture promotes openness and honesty, makes accountability and responsibility clear and encourages debate on important issues. It is also more likely that the organisation will retain high caliber employees who want to work and participate in the activities of the City.

The City fosters and cultivates a culture of integrity through:

- Encouraging an open culture where ethical dilemmas, public integrity concerns, and errors can be discussed freely, and, where appropriate, with employee representatives, and where leadership is responsive and committed to providing timely advice and resolving relevant issues.

- Providing clear rules and procedures for reporting suspected breaches of conduct standards, and ensure, in accordance with fundamental principles of procedural fairness, protection against all types of unjustified treatments as a result of reporting misconduct and integrity violations, in good faith and on reasonable grounds.
- Providing alternative channels for reporting suspected breaches of conduct standards, including when appropriate the possibility of confidentially reporting to a body with the mandate and capacity to conduct an independent investigation.
- Communicating the City's Codes of Conduct (at pre-employment and during employment) and Public Interest Disclosures processes.
- Undertaking Employee Opinion Surveys and Climate Surveys to determine perceptions of observance to values and standards of integrity; and establishment of Employee Opinion Survey Working Groups to examine opportunities to enhance understanding of values in decision-making.
- Publishing registers on the City's website for public inspection in accordance with the *Local Government Act 1995*. These include, but are not limited to the Gifts Register, Minor Breaches Register, Complaints Register, Declarations of Interest Register and Electoral Gifts Register.

### 4.2 Leadership and Management Attitude

From the perspective of integrity, there is a continuing need to give life to the City's primary values and standards of behaviour; to create an environment that supports ethically sound behaviour and decision-making; and to instil a sense of shared integrity responsibility and accountability among elected members and employees. Ineffective oversight by formal and informal leaders, especially when coupled with weaknesses in other internal integrity systems and controls, presents real integrity risks for any public authority.

A "do it right" climate must be created and continually reinforced and communicated from the highest level of the organisation, being elected members and the City's Executive Management Team (the Chief Executive Officer, Directors and Business Unit Managers). In turn, all other leaders in the City (formal and informal) must also demonstrate and reflect the highest standards of integrity for other employees to follow.

Effective leadership and supervision can have a significant impact on the performance and integrity of teams and help to detect and prevent misconduct at the City.



## ATTACHMENT 8.17.1

City of Joondalup Integrity Framework 15



Leaders must proactively promote integrity and supervise by:

- Visible demonstration and active promotion of the primary values of the organisation.
- Knowing and understanding the management and monitoring tools available to them including performance management and substandard performance processes, and disciplinary and reporting processes.
- Being consistent and clear about expectations, how they align with values and policies, and not shying away from difficult conversations about performance and integrity.
- Trusting their team but still fulfilling their obligations by monitoring work performance and integrity requirements and following up on any concerns.
- Taking consistent, appropriate and proportionate action to deal with issues.
- Creating safe places where staff can challenge the status quo by speaking up (also refer to the City's Public Interest Disclosure Officers; Workmates Program; and Employee Assistance Program).

Matters related to integrity should be continually promoted and discussed at regular meetings between leaders and employees so that ethical standards of behaviour can not only be reinforced, but also for integrity issues or concerns to be highlighted so that clarification or any further educational instruments or processes can be investigated and implemented.

The City's intent is that through reinforcement of positive leadership attitudes and expectations toward high levels of conduct and integrity, a normalised professional business culture will be maintained and enhanced. Employee Opinion Surveys and Climate Surveys will assist leaders in understanding employee perceptions of observance to values and standards of integrity as a measure of success.

## 5. Learn and Develop Integrity Knowledge and Skills

### 5.1 Integrity Education and Capacity

An organisation may have the best processes and practices in place to foster a culture of integrity, but it must continue to educate and communicate those standards and practices through understanding and capacity building.

The provision of sufficient information, training, guidance and timely advice for elected members and employees to apply public integrity standards is done through:

- Providing elected members, employees, contractors, suppliers and volunteers with clear and up-to-date information about the organisation's policies, protocols and administrative procedures relevant to maintaining high standards of public integrity.
- Requiring all new employees to be provided with an induction package that includes the *Code of Conduct for Employees* and requires them to confirm they have read and understood the Code.
- Offering induction and on-the-job integrity training to elected members and employees in order to raise awareness and develop essential skills for the analysis of ethical dilemmas, and to make public integrity standards applicable and meaningful in their own personal contexts.
- Providing easily accessible formal and informal guidance and consultation mechanisms to help elected members, employees, contractors, suppliers and volunteers apply public integrity standards in their daily work as well as to manage conflict-of-interest situations.
- Development and training completed by elected members and employees are recorded in the learning management system.
- Development of short guides related to ethical and integrity matters.
- The employee performance management process reinforces the need to comply with the *Code of Conduct for Employees* and declare any conflicts of interest.
- Elected members, employees, contractors, suppliers and volunteers are provided with avenues to seek advice about integrity obligations including policies and procedures from those with relevant expertise.
- Employee access to the City's 'Workmates Program' and Public Interest Disclosures Officers.
- Referencing and engaging with the Public Sector Commission through its integrity insights materials.



## 6. Be Accountable for Integrity

### 6.1 Response to Integrity Breaches

As an overarching principle, the City does not tolerate corrupt or other improper conduct, including mismanagement of public resources, in the exercise of the public functions of the City, by its elected members, employees, contractors, suppliers or volunteers. In view of this it actively promotes and supports disclosures being made by elected members, employees and members of the public, as to corrupt or other improper conduct that is happening or may happen.

The City will take all reasonable steps to provide protection to elected members, employees, contractors, suppliers and volunteers who make disclosures from any detrimental action in reprisal for the making of a disclosure or misconduct report and also does not tolerate any of its elected members or employees engaging in acts of victimisation or reprisal against those who make a disclosure.

The *City's Code of Conduct for Council Members, Committee Members and Candidates* and *Code of Conduct for Employees* contain principles and minimum requirements to ensure compliance with relevant legislation and standards. In addressing matters, the City may take investigative and disciplinary action in line with relevant City policies and protocols.

Where complaints against elected members, committee members or candidates are upheld they will be included in the City's Complaints Registers, available on the City's website. Complaints (upheld) and reporting to external oversight bodies will also be reported on in the City's Annual Report.

For certain types of conduct, the Chief Executive Officer has a statutory obligation to notify the Public Sector Commission and Department of Local Government, Sport and Cultural Industries (minor misconduct), Corruption and Crime Commission (serious misconduct) and Western Australia Police (criminal conduct).

Where relevant, any reports and discipline processes are used as opportunities to improve practices and strengthen controls.

### 6.2 Self-assessment and Review

The City will self-assess and review the framework on a biennial basis examining ways to continuously improve it by:

- Making judgements informed by data and evidence about what is currently working and what is not.
- Identifying gaps between the current and desired future state.
- Deciding the best way to address any gaps and get to the desired future state based on operating context, risks and resourcing.
- Development of an *Integrity Action Plan*.

The Chief Executive Officer will be responsible for coordinating the review.

The City also uses available tools (eg Integrity Snapshot Tool, Integrity and Conduct Annual Collection, Integrity in Financial Management Self-Assessment Checklist, Compliance Program, Local Government and Public Sector Inquiry Reports and the like) to assess what is currently in place and the maturity of its approach to integrity.





## 7. Oversight

The Chief Executive Officer, with the support of the Executive Management Team, is responsible for oversight of the Integrity Framework.

The following processes are in place to provide the Council and Chief Executive Officer with assurance that the approach to practicing, managing and accounting for integrity is sound, and the framework is working as intended:

### Chief Executive Officer

- Integrity matters to be a standing Executive agenda item.
- Role and responsibilities as the City's Complaints Officer undertaken.
- Regular reporting from business areas to the Chief Executive and/or Executive Leadership Team includes:
  - o Financial performance and any requests for changes to the approved budget parameters.
  - o Regular review of the conflicts of interest, secondary employment, and gifts and benefits register.
  - o Regular reporting on the staff development and training plan as it relates to integrity matters.
  - o Progress reporting from internal audit provided to ensure audit corrective actions are implemented.
  - o Progress reporting on risk management matters as they relate to integrity.
  - o Regular Employee Opinion Surveys and Climate Surveys incorporating integrity feedback mechanisms.

### Council/Audit and Risk Committee

- Quarterly reporting on the use of Chief Executive Officer's credit card.
- Annual Compliance Audit Return.
- Regular reporting on internal audit coverage and annual work plan
- Regular reporting on the Office of the Auditor General's work program.
- Regular reporting on identifying and management of misconduct and integrity matters affecting the City or local government sector.
- Policy documents as they relate to integrity matters.
- Monitors the effectiveness of the City's *Risk Management Framework* including integrity risks.
- Sets and endorses delegations for specific functions to the Chief Executive Officer and relevant officers.
- Three yearly reviews of the appropriateness and effectiveness of the City's systems and procedures in relation to risk management, internal controls and legislative compliance and report to the Council the results of those reviews.
- Three yearly reviews of the appropriateness and effectiveness of the City's financial management systems and procedures of the City and report to the Council the results of those reviews.



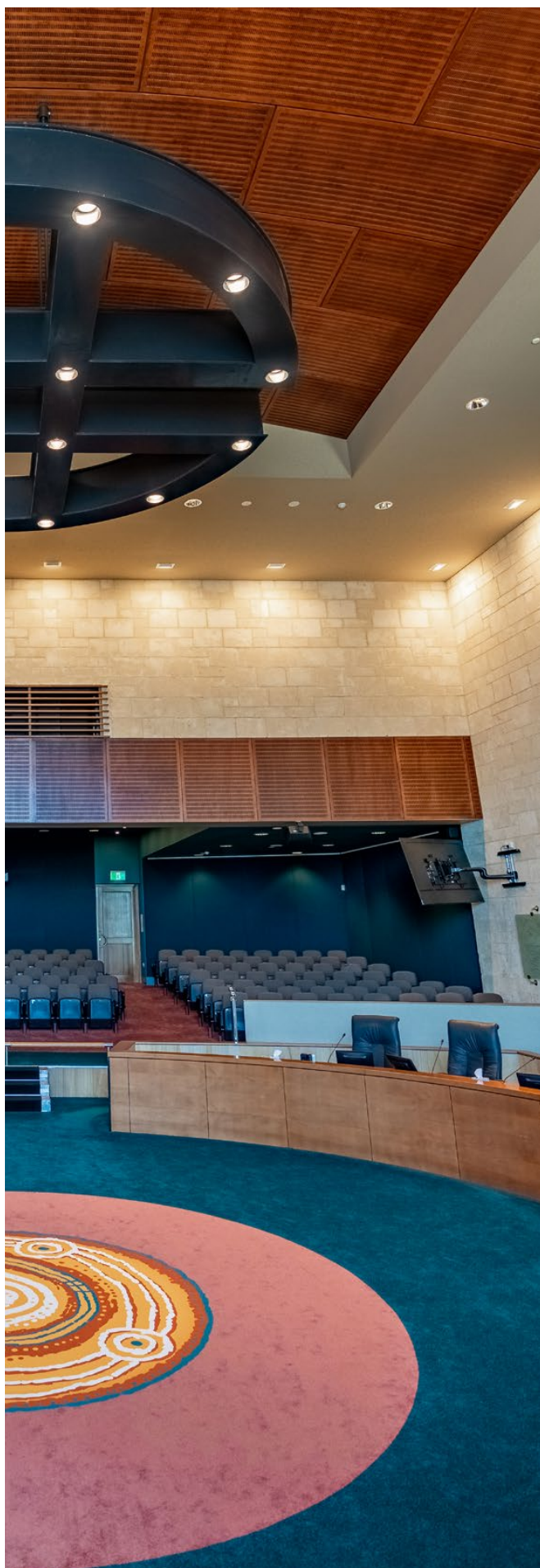
## ATTACHMENT 8.17.1

City of Joondalup Integrity Framework 19

## 8. Relevant City of Joondalup Documents

The following key City of Joondalup documents are relevant to the Integrity Framework:

- [\*Strategic Community Plan 2032\*](#)
- [\*Governance Framework\*](#)
- [\*Code of Conduct for Council Members, Committee Members and Candidates\*](#)
- [\*Code of Conduct for Employees\*](#)
- [\*Risk Management Framework\*](#)
- [\*Audit and Risk Committee Terms of Reference and Charter\*](#)
- [\*Public Registers\*](#)
- [\*Risk Management Policy\*](#)
- [\*Fraud Corruption and Misconduct Control Policy\*](#)
- [\*Elections Caretaker Policy\*](#)
- [\*Attendance at Events Policy\*](#)
- [\*Customer Service Charter\*](#)
- [\*Public Interests Disclosure Framework\*](#)
- [\*Statement of Business Ethics\*](#)





City of  
Joondalup

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

## Definitions of Positions of Trust

As at 30 November 2023



- Actions and decisions are not subject to regular checks and balances, or where the individual is not subject to ongoing oversight.
- Chief Finance Officers.
- Delegation of Authority from Council: With no subdelegates.
- Financial Services: Suppliers (creating new suppliers; amending supplier details; amending bank details; amending master file).
- High Value Contract Managers: Extension of existing contracts.
- High Value Contract Managers: Choice of tender.
- High Value Procurement Officers: Delegation for authorising payment from the trust fund.
- High Value Procurement Officers: Delegation for payments from municipal fund – incurring liabilities and making payments (Category A – unlimited; Category B – limited to \$2 million; Category C – limited to \$250,000; Category D – limited to \$100,000; Category E – limited to \$25,000).
- High Value Procurement Officers: Delegation for payments from municipal fund and trust funds – signatories to bank accounts (Category A, B and C Signatories).
- High Value Procurement Officers: Delegation for power to invest (unlimited; up to \$4.5 million; up to \$3 million).
- Human Resources: Employee Relations / Industrial Relations.
- Human Resources: Payroll (creating new employees; amending employee details; payroll bank transfer).
- Human Resources: Recruitment.
- Infringements: Delegation for extension of time to pay and withdrawal of notices.
- Investigating Code of Conduct Complaints.
- Investigating and/or Reporting Misconduct Activities.
- Officers that are in a position to confer significant private benefit on companies, enterprises or individuals or impact the competitiveness of a market.
- Officers that are responsible for the privacy or integrity of personal information maintained by the State, particularly where that information has a high commercial value.
- Officers that have involvement with vulnerable people, including children and the elderly.
- Officers who have authority to impose licensing conditions or restrictions on an enterprise or individual.
- Officers with access to sensitive, restricted or personal information.

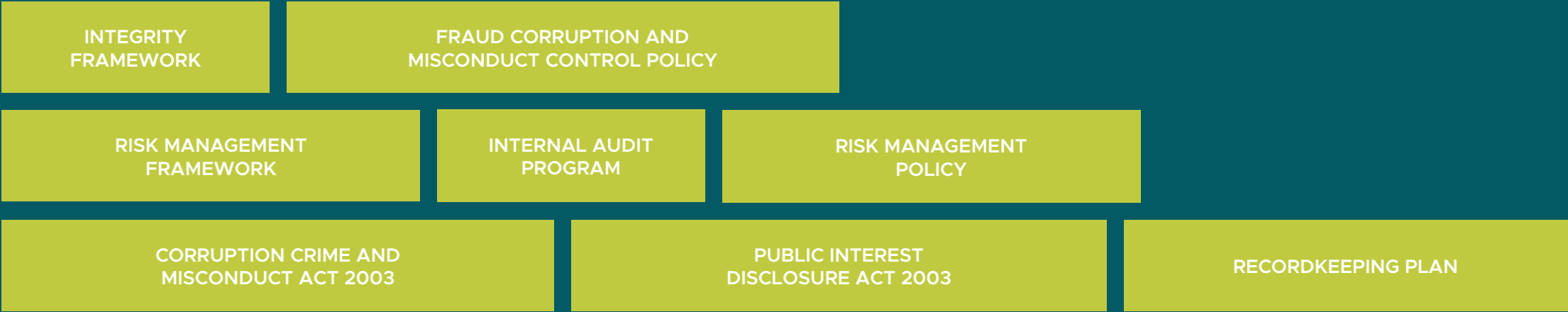
- Officers with enforcement powers that may be used to confiscate property or otherwise interfere with the personal liberties of citizens.
- Rating Services: Delegation for the amendment to the rate record.
- Super User / System Administrator.





# FRAUD, CORRUPTION AND MISCONDUCT CONTROL FRAMEWORK

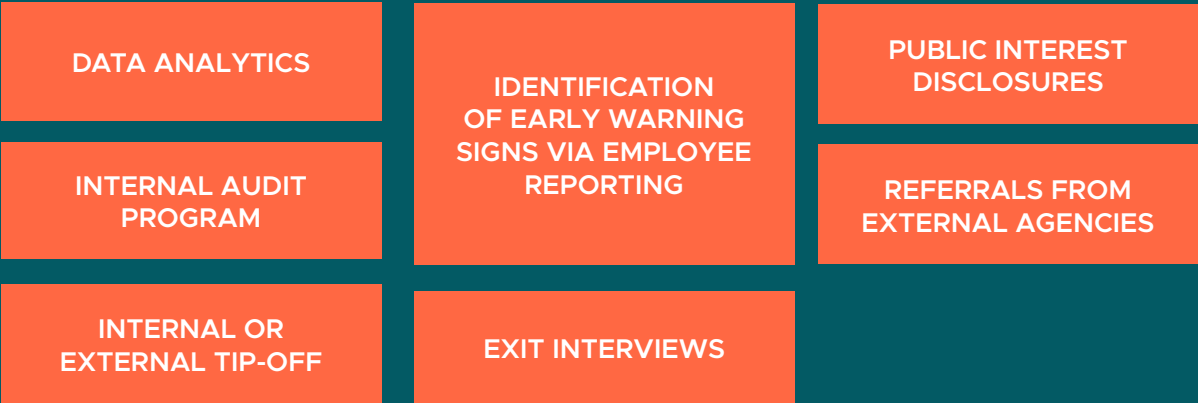
## FOUNDATIONS



## PREVENTION



## DETECTING



Audit, Risk and Executive Services are responsible for Integrity and Conduct Training and Awareness programs.

For more information please contact:

- Manager Audit, Risk and Executive Services, Christine Robinson on 9400 4370
- Integrity Officer, Heather Hoskisson on 9400 4433

joondalup.wa.gov.au





## WHAT CAN YOU DO TO SUPPORT INTEGRITY IN YOUR WORKPLACE?

- Be accountable for your own behaviour.
- Understand and operate within the City's *Code of Conduct, Integrity Framework 2022* and all relevant policies.
- Do not engage in fraud or corruption, and report any fraudulent or corrupt behaviour, or suspected breaches of the City's *Code of Conduct*.
- Seek advice when unsure from either your Supervisor, Manager Human Resources, or the Chief Executive Officer.

## REPORT AND MANAGE SUSPECTED CODE BREACHES

- Supervisor, Manager Human Resources, or the Chief Executive Officer
- Corruption and Crime Commission
- Public Sector Commission
- **Public Interest Disclosures via the City's website**

**For further information,  
please contact the City's Integrity  
Officer on ext. 4433**

# INTEGRITY AND CONDUCT



AM I DOING THE  
RIGHT THING?

HOW WOULD OTHERS  
JUDGE MY ACTIONS?

HOW COULD MY ACTIONS  
IMPACT ON OTHERS?

SHOULD I DISCUSS THIS  
WITH SOMEONE ELSE?

For further information,  
please contact the City's  
Integrity Officer on ext. 4433





# DO YOU KNOW THE FOUR STEPS IN INTEGRITY DECISION MAKING?

## AM I DOING THE RIGHT THING?

- Am I breaking a rule?
- Is this consistent with legislation, our code, policies and procedures that apply?
- Does it feel ok?
- Am I acting in the public interest?

## HOW WOULD OTHERS JUDGE MY ACTIONS?

- How would my colleagues and other whose opinions I respect view my actions?
- How would I feel if this became public knowledge? (Would it pass "the pub test"? or the "West Test")
- Would my actions stand up to scrutiny?

## HOW COULD MY ACTIONS IMPACT ON OTHERS?

- What impact could this have on my authority, the project, my position and/or the public?
- Could this impact on my colleagues, family and friends?

## SHOULD I DISCUSS THIS WITH SOMEONE ELSE?

- Should I talk to a colleague or peer, my manager, human resources, our integrity and governance areas, or our legal advisor?