

# minutes

## Audit and Risk Committee

MEETING HELD ON

MONDAY 20 MAY 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*

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

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### Note:

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

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

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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 20 MAY 2024.

#### ATTENDANCE

##### Committee Members:

Cr John Raftis	<i>Presiding Member</i>
Cr Rebecca Pizzey	
Cr Daniel Kingston	
Cr Christine Hamilton-Prime, JP	
Mr Mark Hall	<i>External Member</i>

##### Observers:

Nil.

##### Officers:

Mr James Pearson	Chief Executive Officer
Mr Jamie Parry	Director Governance and Strategy
Mr Mat Humfrey	Director Corporate Services
Mrs Kylie Bergmann	Manager Governance
Ms Christine Robinson	Manager Audit, Risk and Executive Services
Ms Samer Al Janabi	General Counsel
Mr Peter McGuckin	Internal Auditor
Mrs Susan Hateley	Governance Officer

## 1 DECLARATION OF OPENING

The Presiding Member declared the meeting open at 6.00pm. The Presiding Member welcomed the External Member, Mr Hall to his first meeting of the Audit and Risk Committee.

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## **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 Adrian Hill 28 June to 15 July 2024 inclusive.

### **3.2 APOLOGIES**

Mayor Hon. Albert Jacob, JP  
Cr Lewis Hutton  
Cr Rohan O'Neill

## **4 CONFIRMATION OF MINUTES**

### **4.1 MINUTES OF THE AUDIT AND RISK COMMITTEE HELD ON 11 MARCH 2024**

**OFFICER'S RECOMMENDATION MOVED** Cr Kingston, **SECONDED** Cr Pizzey that the Minutes of the Audit and Risk Committee held on 11 March 2024 be **CONFIRMED** as a true and correct record.

**The Motion was Put and**

**CARRIED (5/0)**

**In favour of the Motion:** Cr Raftis, Cr Hamilton-Prime, Cr Kingston, Cr Pizzey and Mr Hall.  
**Against the Motion:** Nil.

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

Nil.

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## **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 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 Corporate Compliance 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 Hamilton-Prime, 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 (5/0)**

**In favour of the Motion:** Cr Raftis, Cr Hamilton-Prime, Cr Kingston, Cr Pizzey and Mr Hall.

**Against the Motion:** Nil.

## **ATTACHMENTS**

1. 2024 Corporate Compliance Calendar [8.1.1 - 24 pages]

## 8.2 ELECTED MEMBER DINNER REPORT QUARTER 3 (JANUARY - MARCH 2024) (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 in Quarter 3 between January to March 2024.*

### 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 of 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."*

## 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.

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**Consultation**

Not applicable.

**COMMENT**

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

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

No Elected Member dinners were held in Quarter 3 between January to March 2024.

**VOTING REQUIREMENTS**

Simple Majority.

**OFFICER'S RECOMMENDATION MOVED Cr Hamilton-Prime, SECONDED Cr Raftis that the Audit and Risk Committee NOTES no Elected Member dinners were held in Quarter 3 between January to March 2024.**

**The Motion was Put and**

**CARRIED (5/0)**

**In favour of the Motion:** Cr Raftis, Cr Hamilton-Prime, Cr Kingston, Cr Pizzey and Mr Hall.

**Against the Motion:** Nil.

**ATTACHMENTS**

Nil

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### 8.3 BENEFITS FRAMEWORK REALISATION IMPLEMENTATION (WARD - ALL)

WARD	All
RESPONSIBLE DIRECTOR	Mr Jamie Parry Director Governance and Strategy
FILE NUMBER	111020, 101515
AUTHORITY / DISCRETION	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

To provide an update to the Audit and Risk Committee on the implementation of the *Benefits Realisation Framework*.

#### EXECUTIVE SUMMARY

Following a review of the City's Benefits Management Program, a *Benefits Realisation Framework* was developed to articulate best practice principles and processes for reporting the value of internal business improvement activities.

The Audit and Risk Committee noted the City's new *Benefits Realisation Framework*, (Attachment 1 refers) at the August 2023 meeting.

Substantial progress has been made in the implementation of the *Benefits Realisation Framework* including the development of processes, tools, templates and testing of business improvement activities.

*It is therefore recommended that the Audit and Risk Committee NOTES the progress made in implementing the City's revised approach to benefits management and reporting through the Benefits Realisation Framework.*

#### BACKGROUND

The former Benefits Management Program was initiated in August 2019 (referred to as *Service Efficiency and Effectiveness Review Program* prior to this date). The intent was to monitor and report on financial benefits resulting from operational improvements. An annual report was presented to the Audit and Risk Committee which outlined benefits from changes in organisational services, activities and programs in the financial year. Non-financial benefits were generally not reported.

In June 2022 a review of the Benefits Management Program was recommended following concerns regarding the lack of clarity on the definition of benefits and how benefits were reported within the program. Following the review, an updated *Benefits Realisation Framework* was developed and presented to the Audit and Risk Committee at the August 2023 meeting.

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The *Benefits Realisation Framework* and associated processes are intended to capture benefits arising from internal business improvement activities undertaken in line with the City's continuous improvement culture.

The Framework is not intended to measure benefits from external projects such as the Capital Works Program construction projects or infrastructure upgrades, although this may be considered in scope in the future.

The two overarching objectives of the *Benefits Realisation Framework* are as follows:

- To embed the principles of benefits realisation across the organisation, including outlining the value of monitoring and reporting on benefits.
- To implement a clear and consistent process for the identification, categorisation, measurement, and reporting of the benefits arising from internal business improvement activities.

The implementation of the Framework will produce the following deliverables:

- Documented processes to guide City staff.
- Training and guidance materials.
- Templates for monitoring and reporting of benefits.

Following implementation of the *Benefits Realisation Framework*, reporting of benefits will be provided to the Audit and Risk Committee on an annual basis.

## DETAILS

The implementation of the *Benefits Realisation Framework* has commenced with the initial focus on identification of appropriate benefits realisation processes, templates and tools. As the *Benefits Realisation Framework* provides a new approach to benefits reporting, staff will require considerable guidance and support during implementation to ensure future reporting to the Audit and Risk Committee is robust and comprehensive. Staff will have access to documented benefits realisation processes, monitoring and reporting templates, guidance materials and training and support from the Strategic and Organisational Development Business Unit.

The concurrent review of the City's *Project Management Framework* also provides an opportunity to update the project templates to reflect the City's new approach to benefits realisation.

To inform the development of benefits realisation processes and tools, progress to date has also included the investigation of some of the City's current or former business improvement activities to retrospectively apply the *Benefits Realisation Framework*. In doing so, the principles and practices of the Framework have been tested and draft tools and templates refined.

Testing of case study examples is currently in progress to demonstrate how benefits reporting can be applied under the Framework, including the categorisation and measurement of benefits realised.

As part of the implementation of the *Benefits Realisation Framework* progress reporting is being provided to the following:

- The CEO Recruitment and Performance Review Committee (quarterly).
- The Audit and Risk Committee (twice yearly).

Further details of the implementation of the *Benefits Realisation Framework* is provided in Attachment 2 to this Report.

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

**Policy** *Australian Business Excellence Framework Council Policy.*

### **Risk management considerations**

Not applicable.

### **Financial / budget implications**

Not applicable.

### **Regional significance**

Not applicable.

### **Sustainability implications**

Not applicable.

### **Consultation**

Not applicable.

### **COMMENT**

Substantial progress has been made in the implementation of the *Benefits Realisation Framework* including the development of processes, tools, templates and testing of business improvement activities.

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As a newly developed framework, it is expected that implementation will also include refinements over time as the processes are tested and the City's knowledge and expertise in the practice of measuring and reporting benefits matures.

Implementation of the Framework aligns with the Australian Business Excellence Framework and ISO 9001:2015, which the City use to monitor and drive continuous improvement.

Following the implementation of the *Benefits Realisation Framework* an annual report, outlining benefits realised from the City's improvement activities, will be provided to the Audit and Risk Committee with the first report being provided in quarter three 2024/25.

## **VOTING REQUIREMENTS**

Simple Majority.

**OFFICER'S RECOMMENDATION MOVED Cr Hamilton-Prime, SECONDED Cr Pizzey that the Audit and Risk Committee NOTES the progress made in implementing the City's revised approach to benefits management and reporting through the *Benefits Realisation Framework*.**

**The Motion was Put and**

**CARRIED (5/0)**

**In favour of the Motion:** Cr Raftis, Cr Hamilton-Prime, Cr Kingston, Cr Pizzey and Mr Hall.

**Against the Motion:** Nil.

## **ATTACHMENTS**

1. Benefits Realisation Framework [8.3.1 - 5 pages]
2. Benefits Realisation Implementation [8.3.2 - 1 page]



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## 8.4 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').

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This report is confidential in accordance with the *Local Government Act 1995*, which permits the meeting to be closed to the public for business relating to the following:

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

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

**OFFICER'S RECOMMENDATION MOVED Cr Kingston, SECONDED Cr Raftis that the Audit and Risk Committee NOTES the copies of corporate credit card statements for January 2024 to March 2024.**

**The Motion was Put and**

**CARRIED (5/0)**

**In favour of the Motion:** Cr Raftis, Cr Hamilton-Prime, Cr Kingston, Cr Pizzey and Mr Hall.

**Against the Motion:** Nil.

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## 8.5 CONFIDENTIAL - INTERNAL AUDIT OUTCOMES - HUMAN RESOURCE SYSTEMS (WARD - ALL)

<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr James Pearson Chief Executive Officer
<b>FILE NUMBER</b>	110664, 105279, 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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This report is confidential in accordance with the *Local Government Act 1995*, which permits the meeting to be closed to the public for business relating to the following:

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

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

**OFFICER’S RECOMMENDATION MOVED Cr Kingston, SECONDED Cr Hamilton-Prime that the Audit and Risk Committee NOTES the outcomes of the following human resource systems internal audits:**

- 1 Potential conflicts of interest via inappropriate relationships;**
- 2 Potential payments made to ghost employees (employee validity).**

**The Motion was Put and**

**CARRIED (5/0)**

**In favour of the Motion:** Cr Raftis, Cr Hamilton-Prime, Cr Kingston, Cr Pizzey and Mr Hall.

**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 Kingston requested the following reports:

- 1 That the Chief Executive Officer prepare a report on how internal conflicts of interest are managed in relation to reports presented to Council, and consider the recommendations from the Inquiry into the City of Belmont.
- 2 That the Chief Executive Officer prepare a report on the internal audit function reporting to the Audit and Risk Committee (the Committee) in addition to the Chief Executive Officer, and a mechanism or procedure where the Internal Auditor can confidentially report to the Committee.
- 3 That the Chief Executive Officer prepare a report on the risks associated with the Beenyup Wastewater Treatment Plant in Craigie including:
  - concerns relating to a lack of adequate or significant buffer and impacts on adjacent residents' health, wellbeing and safety;
  - notification plans to residents of minor incidents such as poor air quality from processes at the wastewater treatment plant;
  - Emergency Management Committee responsibilities to significant State Government infrastructure;
  - bushfire management of adjacent reserves under the management of the local government;
  - coordinating responses to a significant or catastrophic incident that may occur at the wastewater treatment plant;
  - requesting WaterCorp provide a copy of the Disaster Management Plan to the City to allow a coordinated response to any incident.


## **12 CLOSURE**

There being no further business, the Presiding Member declared the meeting closed at 6.55pm the following Committee Members being present at that time:

CR JOHN RAFTIS  
CR REBECCA PIZZEY  
CR DANIEL KINGSTON  
CR CHRISTINE HAMILTON-PRIME, JP  
MR MARK HALL

## **20 MAY 2024 - AUDIT AND RISK COMMITTEE - AGENDA 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 <i>(Evidence of completion)</i>	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				Complete
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	Complete
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	Complete
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	Complete
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

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Behind Schedule

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	<b>February - Take Action</b>											
Feb	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services	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	3/18/2024	INT24/15648	Published on the City's website.	Complete
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			Certificates being circulated for signatures	In Progress
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

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	<b>March - Take Action</b>											
Mar	<b>Compliance Audit Return - Report to Audit Committee</b> Compliance Audit Return, report considered by Audit Committee, with recommendations to Council. <b>Note</b> - Schedule Committee / Council consideration with sufficient time to enable submission to DLGSCI by <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	3/11/2024	MIN24/78		Complete
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	2/23/2024	INT24/20104	Report for January 2024 to March 2024 Council meeting	Complete
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	2/23/2024	INT24/20103	Report for January 2024 to March 2024 Council meeting	Complete
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	2/23/2024	INT24/20105	Report for January 2024 to March 2024 Council meeting	Complete
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	3/19/2024	EF118795 pymt reference	Date of EFT payment - payment included in list of payments report to May 2024 Council meeting	Complete
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	Presented to February 2024 Council meeting	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	4/1/2024	Financial Interest Register and Primary Returns submitted by Officers up to 31 March 2023 has been updated on the City's website		Complete
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	4/16/2024	INT23/3414	EM Council Meeting Attendance Register review. All Elected Members compliant with the requirements of s2.25 of the LGA	Complete
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	4/16/2024	INT24/21157 INT24/21156	Published to the City's website.	Complete
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	3/5/2024		Annual Elector's Meeting held on Tuesday 5 March 2024.	Complete
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			Workshop scheduled with Elected Members for 29 April 2024.	In Progress
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	3/6/2024	EMO24/18127		Complete
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	3/25/2024		No Action Required - licence will be automatically renewed vy Water Corporation	Complete
Mar	<b>WALGGC Road Information Return</b> - Submit WALGA Road Assets & Expenditure Certification Sheet				Annual	Infrastructure Services	Asset Management	Manager Asset Management	11/9/2023	INT23/64367	Completed in November 2023	Complete



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	9/1/2023	Completed in September 2023. HP 01330	Completed in September 2023	Complete
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Behind Schedule

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	April - Take Action											
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	3/11/2024	N/A - action plan not required		Complete
Apr	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services	3/23/2024	INT24/20360	Report for February 2024 to April 2024 Council meeting	Complete
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	3/15/2024	INT24/24272	Report for February 2024 to April 2024 Council meeting	Complete
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	3/21/2024	INT24/20365	Report for February 2024 to April 2024 Council meeting	Complete
Apr	<b>Annual Budget - Copy of Review to DLGSCI</b> Executive Director within <b>30 days</b> after Budget Review adoption, plus a copy of the Council Report / Minutes relevant to Budget Review adoption.	Local Government Act 1995	FM.Reg.33A(4)	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services	3/11/2024	EMO24/19245 - Email to DLGSC EIN24/2612 - DLGSC confirmation of rcpt	Submitted to DLGSC via email	Complete
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	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services		No CM reference at this stage	Draft 2024-25 Schedule of Fees and Charges proposed to be presented to Council along with draft 2024-25 Annual Budget for consideration at the June 2024 Council meeting	In Progress
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	4/30/2024	INT24/24031 INT24/24035	Published to the City's website	Complete
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	5/14/2024		AGM Minutes/Responses will be presented to the Briefing Session on 14 May 2024, and Council meeting on 28 May 2024.	In Progress
Apr	<b>Elections - Enrolment Eligibility Claims (Owners and Occupiers) Register</b> - Prepare for Elections - Review register and take action re expired Eligibility Claims (no longer property owner / claim based on occupation or nominee expired)	Local Government Act 1995	s.4.35 Elections Regs.14 and 15 Form 6 and 7	WALGA Template Enrolment Eligibility Claims Register	Biennial Next Due: 2025	Governance and Strategy	Governance	Manager Governance			No action required in 2024.	
Apr	<b>Elections</b> - Create Election Timeline	Local Government Act 1995	Part 4		Biennial Next Due: 2025	Governance and Strategy	Governance	Manager Governance			No action required in 2024.	
Apr	<b>Electoral Gifts</b> - Provide advice to sitting members whose term is due to expire of the commencement of the 'electoral period' and declaration requirements.	Local Government (Electoral) Regulations 1996	r30C		Biennial Next Due: 2025	Governance and Strategy	Governance	Manager Governance			No action required in 2024.	
Apr	<b>Corporate Business Plan - Review (Council Workshop)</b> Schedule a workshop with Council Members and Executive staff to review options and priorities (including the Capital Works Plan) and to finalise the Corporate Business Plan for recommendation to Council.	Local Government Act 1995	s.5.56 Admin.Reg.19DA	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual Next Due: April/May 2024	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development	4/29/2024	Workshop on review of Corporate Business Plan held with Elected Members on 29 April 2024.		Complete

Apr	Equal Employment Opportunity - Send Equality Index & Representation Summary to the Equal Opportunity Commission	Equal Opportunity Act 1984			Annual	Governance and Strategy	Governance	Manager Human Resource Services				
Apr	MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants - 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	4/5/2024	Report emailed		Complete
Apr	MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants - 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	4/2/2024	Final claims submitted for RPR3412, RPR3413, RPR3414, RPR3415		Complete
Apr	Roads to Recovery - Online submission expenditure report and forecast for the next quarter	Roads to Recovery Act 2000 (Clth)			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services		N/A - all funding received for the 5 year program		Complete
Apr	Metropolitan Regional Road Group (MRRG) Road Improvement Grant Funding - Submit Road Rehabilitation Grant Submission to Main Roads	MRWA State Road Funds to Local Government Procedures			Annual	Infrastructure Services	Engineering Services	Manager Engineering Services	4/26/2024	MRRG Submission – EMO24/31664 BRD Submission – EMO24/31660		Complete
Apr	Local Planning Scheme No. 3 - 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			Review of LPS3 underway	In Progress

Complete  
In Progress  
Behind Schedule

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	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	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services	4/23/2024	CM Reference not yet available. Briefing agenda item ref 12.14	Report for March 2024 to May 2024 Council meeting	Complete
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	4/17/2024	CM reference not yet available. Briefing agenda item ref 12.13	Report for March 2024 to May 2024 Council meeting	Complete
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	4/24/2024	CM reference not yet available. Briefing agenda item ref 12.15	Report for March 2024 to May 2024 Council meeting	Complete
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		CM reference not yet available	Awaiting outcome of EM Budget Workshop 13 May 2024 - to progress directly to May 2024 Council meeting - TBC	In Progress
May	<b>Annual Budget - Differential Rates and Minimum Payment Setting - Council Report</b> Council Report required recommending Council to endorse the proposed Differential Rates and minimum payments for the purpose of giving Local Public Notice and calling for submissions. This report and Council decision must occur with sufficient time to enable compliance with the Local Public Notice requirements and 21 day public submission period - s.6.36 before Council resolves to impose the differential rates as part of the Annual Budget. • Notice must be published within the period 2 months before the commencement of the financial year	Local Government Act 1995	s.6.33 s.6.35 s.6.36 FM.Reg.52A	DLGSC WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services		CM reference not yet available	Awaiting outcome of EM Budget Workshop 13 May 2024 - to progress directly to May 2024 Council meeting - TBC	In Progress
May	<b>Annual Budget - Differential Rates and Minimum Payment Setting - Local Public Notices</b> After the Council endorsement for advertising proposed Differential Rates and minimum payments, Local Public Notice must be published with sufficient time to comply with: • Notice must be published within the period 2 months before the commencement of the financial year • Notice must contain details of each rate or minimum payment. • Notice must invite public submissions within 21 days (or longer) of the notice • Notice must advise where public can inspect a document describing the object of, and reasons for, each proposed rate and minimum payment.	Local Government Act 1995	s.6.33 s.6.35 s.6.36 FM.Reg.52A	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services		CM reference not yet available	Awaiting outcome of EM Budget Workshop 13 May 2024 - to progress directly to May 2024 Council meeting - TBC	In Progress
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 Next Due: 2026	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)	WALGA - Governance Subscription - Guideline - Primary and Annual Returns Management DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Bi-monthly	Governance and Strategy	Governance	Manager Governance				
May	<b>Gifts Register</b> - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance				
May	<b>Delegation Register Review</b> - Sub-delegations are to be reviewed by the delegator (CEO) at least once every financial year Last Reviewed: 27/06/2023 Next Due: May 2024	Local Government Act 1995	s.5.16, 5.17, 5.18 s.5.42, 5.43, 5.44, s.45, 5.46 s.7.1B	WALGA website - Decision Making in Practice Toolkit Part 2 Delegations WALGA website - Webinar - Decision Making in Practice - Delegations DLGSC website - Operational Guideline No.17 Delegations	Annual	Governance and Strategy	Governance	Manager Governance				
May	<b>Local Emergency Management Committee</b> - Hold committee meeting quarterly in accordance with the Act	Emergency Management Act 2005	s. 38		Quarterly	Infrastructure Services	Asset Management	Manager Asset Management				
May	<b>Metropolitan Regional Road Group Funding</b> - Submit Road Improvement Grant Submission to Main Roads				Annual	Infrastructure Services	Engineering Services	Manager Engineering Services				

Is this is a duplication of row 8?

May	MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants - 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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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
	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	<b>DLGSC</b> 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		<b>DFES</b> -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. <i>(adopt and apply in the following Financial Year)</i>	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	<b>DLGSC</b> 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	<b>DLGSC</b> 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	<b>DLGSC</b> 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): 17/03/2020 <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): 17/03/2020 <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): 17/03/2020 <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): 17/03/2020 <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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	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 Next due 2025	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 Next due 2025	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 Next due 2025	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 Next due 2025	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 Next due 2025	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 Next due 2025	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 Next due 2025	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 Next due 2025	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 Next due 2025	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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	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
	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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	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
	<b>November - Take Action</b>											
Nov	<b>Public Interest Disclosure Officer</b> - CEO must appoint a specified position with the authority as the person responsible for receiving public interest disclosures. PID Officer Declaration Form must be completed and provided to the PSC Commissioner	Public Interest Disclosure Act 2003	s.23(1)(a)	<b>Public Sector Commission</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				

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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>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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# Benefits Realisation Framework

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1. Introduction
2. Purpose of a Benefits Realisation Framework
3. Scope
4. Benefits Realisation Framework
5. Strategic Alignment
6. Definitions
7. Benefits Realisation Principles
8. Benefits Realisation Categorisation
9. Benefits Realisation Process

## **1. Introduction**

The City of Joondalup has had a strong background in continuous improvement having developed and enhanced systems and processes over many years. There is a strong culture of improvement within our employees with many being trained in how to review and improve what we do.

The City has developed a Continuous Improvement Plan to establish a more visible and coordinated approach to business and process improvements and to drive continuous improvement activities which will provide the internal capacity to deliver the vision of Joondalup 2032.

## **2. Purpose of a Benefits Realisation Framework**

A key action of the Continuous Improvement Plan is to review the City's existing approach to benefits realisation, develop a Benefits Realisation Framework and implement a process for capturing and reporting on the value of benefits to the organisation.

A Benefits Realisation Framework will enable the City to demonstrate the benefits of improvement activities including financial benefits, efficiencies in time and process, increased effectiveness representing value for money, improvements in quality, reduced environmental impact, reduced risk, greater compliance, and improved governance. Reports on the effectiveness of improvement initiatives will include, where possible, the quantifiable and tangible results of improvements. The reports will also document the non-quantifiable, intangible results of improvements which contribute to enhanced organisational performance and culture.

## **3. Scope**

The draft Benefits Realisation Framework is intended to capture benefits arising from ***internal business and process improvement projects and initiatives*** undertaken as part of the City's continuous improvement activities to enhance performance.

The Framework is not intended to measure benefits from external projects such as Capital Works Program construction projects or infrastructure upgrades. This may be considered in the future but is not included at this stage.

## **4. Benefits Realisation Framework**

The Framework outlines the following key components of the benefits realisation process:

- Identification of benefits
- Categorisation of benefits
- Measuring benefits
- Reporting of benefits

The intended result of implementing the City's Benefits Realisation Framework is the consistent and comprehensive reporting of the measurable tangible and intangible benefits arising from internal improvement projects/initiatives undertaken by City staff.

## **5. Strategic Alignment – Strategic Community Plan, the Australian Business Excellence Framework and ISO 9001:2015**

**Strategic Community Plan** - The Strategic Community Plan 2022-2032 sets out the community's vision for the future and their service expectations across all goals.

Goal 5 Leadership articulates our commitment to becoming a best practice organisation with strong leadership, efficient processes and systems and a highly effective workforce.

### OUR GOAL

We have a diverse elected body that represents, promotes and reflects the composition of our community. Our Council and workforce are accountable and transparent and make balanced decisions based on sound, professional advice. Quality services are delivered by our highly skilled and effective workforce.

### YOUR OUTCOMES

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

**Australian Business Excellence Framework** - The City uses the Australian Business Excellence Framework to provide a systematic process to drive continuous improvement and to provide a basis for assessing its performance and identify improvements. Development of the City's Benefit Realisation Framework is in line with best practice of measuring and reporting progress as outlined in the Australian Business Excellence Framework

**Category 6: Process management, improvement and innovation** outlines the need to encourage innovation and improvement to processes and improve the quality of outputs, and to establish measures for monitoring performance and effectiveness.

**Category 7: Results and Sustainable Performance** notes that an excellent organisation establishes reports on progress to show how well it is performing and as the basis for ongoing review and performance.

**ISO 9001:2015 Quality Management System** – The implementation of ISO 9001:2015 in the Infrastructure Services Directorate demonstrates the City's commitment to continuous improvement and customer service to achieve quality objectives. The fundamental principles include a process approach and constantly reviewing and refining processes to identify and implement improvements where required.

## 6. Definitions

A **benefit** is an advantage which delivers value from an internal City project or improvement initiative.

**Output** refers to the actions or items resulting from an improvement project or initiative.

**Benefits Realisation** refers to the process for identifying, defining, classifying, measuring, and reporting benefits.

**Tangible** benefits are those that can be measured in financial terms. E.g., cost savings, increased productivity.

**Intangible** benefits cannot be quantified in terms of financial gain but may be able to be qualified. E.g., increased staff satisfaction.

## 7. Benefits Realisation Principles

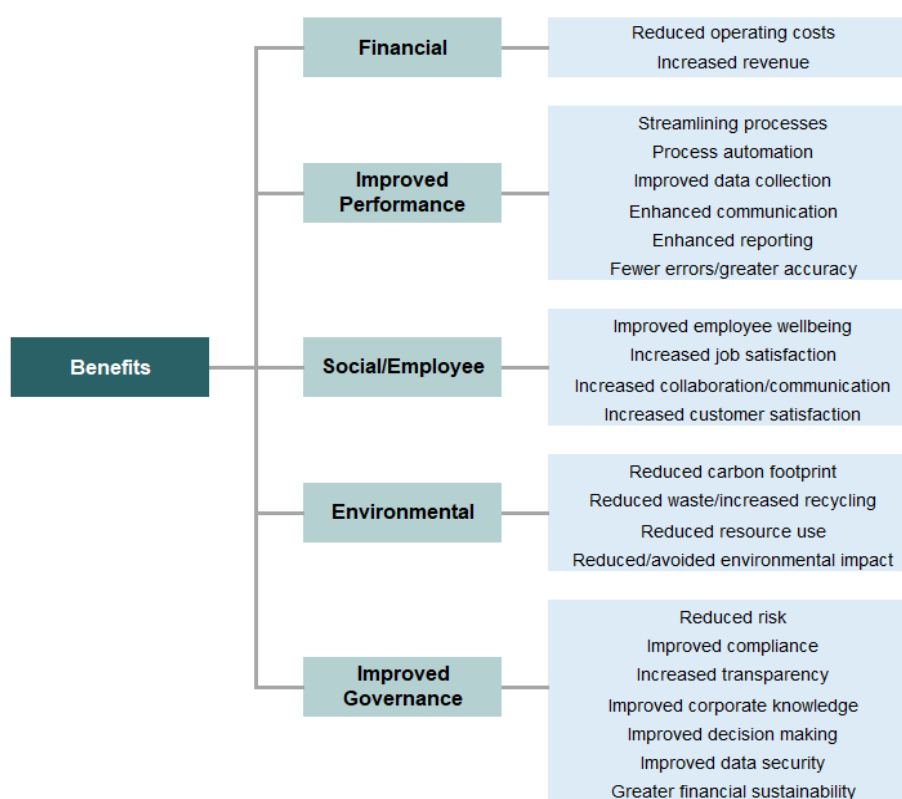
- **Benefits are derived from a project/improvement initiative output.**  
For example, Waste Services transitioning from paper to electronic tipping vouchers. Output = electronic vouchers. Benefits = reduced cost, increased efficiency, reduced waste.
- **Benefits must be aligned to the City's strategic goals.**

- **Not all benefits resulting from a project or improvement initiative are tangible and/or measurable, however both tangible and intangible benefits should be considered.**  
Although intangible benefits may sometimes be more challenging to identify and quantify, they can provide significant value to an organisation.
- **The number of benefits identified and reported should be manageable/not time consuming.**  
While a range of potential benefits may be identified, the City should prioritise those that will have the greatest impact and only measure and report on a select few, i.e. make sure the most important benefits have the most focus.
- **Establishing baseline data allows for project/initiative benefits to be measured and reported.**
- **Benefits should drive improvement project/improvement initiative decision making and prioritisation of projects/improvement initiatives.**
- **Benefits may be realised in the short, medium, or long term.**

#### 8. Benefits Realisation Categorisation

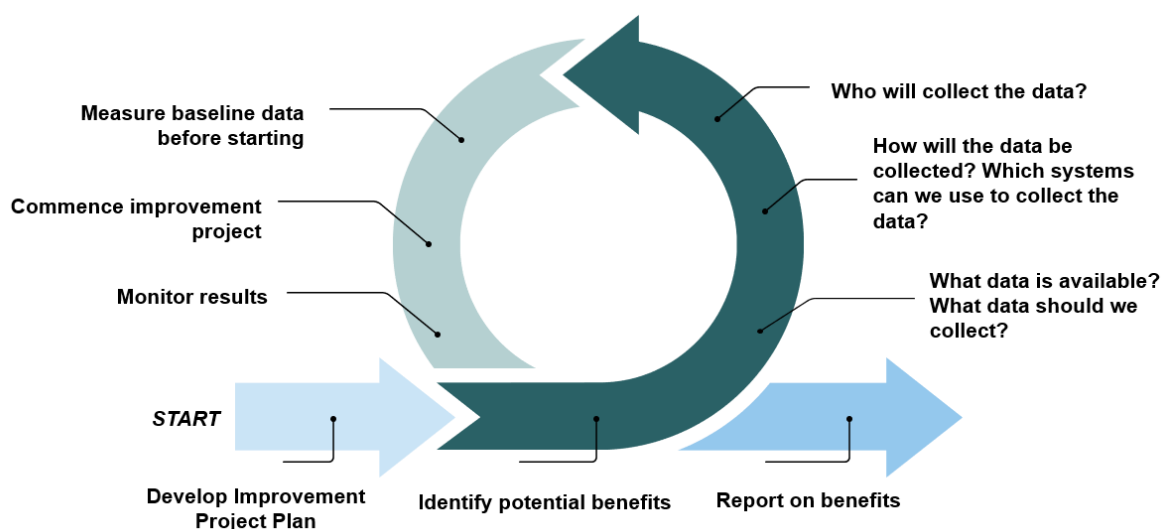
Establishing benefit categories contributes to the standardisation of benefits realisation practices across the organisation and assists with reporting.

The benefits typically arising from internal improvement projects and initiatives fall within the following 5 categories:





## 9. Benefits Realisation Process



A more detailed version of the process outlined above will be documented and made available to staff within the City's process mapping tool, Process Manager (TBD). Staff will be guided through each phase of benefits realisation, increasing the consistency and rigour with which Business Units report on the benefits arising from improvement projects and initiatives.

The Project Management Framework templates will also be adapted to include tools to better capture and realise benefits.

## Collection of Data

The Organisational Development team will be available to staff to assist with the Benefits Realisation Process, particularly the identification and capture of data through advice or the development of reports. As part of the process, there is potential to include formulas to assist with calculating benefits such as cost savings or reduction in staff time to complete a process.

It is important baseline data is captured prior to commencing an improvement project/initiative wherever possible to allow for its impact to be quantified.

## Business Unit Reporting

Business Units will report on benefits using an online form located on the City's intranet (location TBD) and available to all staff. Once submitted, the form will auto populate a SharePoint list, storing information about the City's improvement benefits centrally.

## Reports to Elected Members

Twice yearly, the information on the SharePoint list will be summarised in a report to the Audit and Risk Committee, providing an overview of the internal improvement projects/initiatives undertaken by staff, the benefits arising (tangible/financial and non-tangible/non-financial), links to City strategic plans and, where possible, a measurement of the advantage and value achieved by each benefit.

### **Benefits Realisation Framework - Key activities undertaken Quarters 2 and 3, 2023/24**

#### Undertook investigation of City business improvement activities for use as case studies:

- Staff Parking Fringe Benefit Tax – recent changes to FBT legislation had the potential to significantly increase the City's liability. A project was undertaken to investigate avenues for reducing the City's cost while maintaining compliance.
- Doc Assembler – implementation of new electronic minute and agenda software aiming to deliver time and costs saving to the City.
- Waste Services – the Waste Services team are currently undertaking a suite of business improvement projects aiming to streamline processes and provide a financial benefit to the City.
- Project Axiom – the implementation of Microsoft Dynamics will streamline internal processes through automation.

#### Completed first draft of the Benefits Reporting Template and reporting procedure

- A key deliverable of the project is a template for monitoring and reporting on benefits. Researching best practice reporting principles and analysis of examples led to the development of a first draft reporting template.
- Using real world examples from some of the projects listed above, the template was refined and improved.
- Key aspects of the reporting process itself have been considered, such as reporting timeframes, roles and responsibilities and training requirements.
- The reporting template and procedure will be shared internally for business unit feedback.

#### Commenced first draft of the project's Communication Plan

- Development of a Communications plan has commenced.
- With the expectation that benefits realisation is undertaken by employees across the organisation, careful consideration is being given to the nature of communications regarding the Framework and associated processes, as well as the tools available to support staff at different levels across the organisation, including training sessions and materials.

#### Commenced development of benefits measurement methodologies and systems database

- Development of a database has commenced outlining common metrics, algorithms and systems which staff may use to measure the impact of benefits arising from business improvement activities.