

minutes

Audit and Risk Committee

MEETING HELD ON

MONDAY 19 MAY 2025

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

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Note:

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

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

CITY OF JOONDALUP

MINUTES OF THE AUDIT AND RISK COMMITTEE MEETING HELD IN CONFERENCE ROOM 1, JOONDALUP CIVIC CENTRE, BOAS AVENUE, JOONDALUP ON MONDAY 19 MAY 2025.

ATTENDANCE

Committee Members:

Cr John Raftis	<i>Presiding Member</i>	
Cr Rebecca Pizzey		<i>from 6.02pm</i>
		<i>absent from 7.30pm to 7.32pm</i>
Cr Lewis Hutton		
Cr Daniel Kingston		<i>absent from 6.46pm to 6.48pm</i>
Cr Rohan O'Neill	<i>Deputy Presiding Member</i>	
Cr Phillip Vinciullo	<i>Deputising for Cr Hamilton-Prime, JP</i>	<i>absent from 6.32pm to 6.37pm</i>
Mr Mark Hall	<i>External Member</i>	

Officers:

Mr James Pearson	Chief Executive Officer	<i>absent from 6.16pm to 6.20pm</i>
Mr Jamie Parry	Director Governance and Strategy	<i>absent from 6.56pm to 6.58pm</i>
		<i>to 7.35pm</i>
Mr Nico Claassen	Director Infrastructure Services	<i>to 7.35pm</i>
Mr Mat Humfrey	Director Corporate Services	<i>to 7.35pm</i>
Mr Chris Leigh	Director Planning and Community Development	<i>to 7.35pm</i>
Ms Christine Robinson	Manager Audit, Risk and Executive Services	
Mr Peter McGuckin	Internal Auditor	
Ms Samer Al Janabi	General Counsel	
Mrs Rebecca Maccario	Manager Strategic and Organisational Development	<i>to 6.26pm</i>
Mrs Kylie Bergmann	Manager Governance	<i>to 7.57pm</i>
Mrs Laura Napier	Governance Officer	<i>to 7.35pm</i>
Ms Caitlin Wood	Governance Officer	<i>to 7.35pm</i>

1 DECLARATION OF OPENING

The Presiding Member declared the meeting open at 6.01pm.

Cr Pizzey entered the Room at 6.02pm.

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 Nige Jones	13 May to 22 May 2025 inclusive.
Cr John Raftis	11 June to 22 June 2025 inclusive.

3.2 APOLOGIES

Mayor Hon. Albert Jacob, JP.
Cr Christine Hamilton-Prime, JP.

4 CONFIRMATION OF MINUTES

4.1 MINUTES OF THE AUDIT AND RISK COMMITTEE HELD ON 24 FEBRUARY 2025

MOVED Cr O'Neill, **SECONDED** Cr Hutton that the Minutes of the Audit and Risk Committee held on 24 February 2025 be **CONFIRMED** as a true and correct record.

The Motion was Put and

CARRIED (7/0)

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

Against the Motion: Nil.

5 ANNOUNCEMENTS BY PRESIDING MEMBER WITHOUT DISCUSSION

Nil.

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

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

7 PETITIONS AND DEPUTATIONS

Nil.

8 REPORTS

8.1 2025 CORPORATE COMPLIANCE CALENDAR (WARD – ALL)

WARD	All
RESPONSIBLE DIRECTOR	Mr Jamie Parry Director Governance and Strategy
FILE NUMBER	110921, 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').

PURPOSE

For the Audit and Risk Committee to note the updated 2025 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 Western Australian Local Government Association (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 2025 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.

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

Risk management considerations in reports to Council consider the relevant strategic risk(s).

This category of risk requires input from Council and is managed by the Chief Executive Officer and relevant Director(s).

Strategic risks are external or internal risks that affect the achievement of the City's long-term objectives.

Strategic Risk Relationship

Risk	DECISIONS
Risk Event Description	Ineffective / improper decision making
Risk Responsibility	Director Governance and Strategy
Residual Risk	High
Control Effectiveness	Strong
Risk Appetite	High risk requires close monitoring with assurance of the highest levels of controls – strong – including plans for improving effectiveness levels.
Risk Control	The relevant control, to mitigate risk, is the maintenance of a tool that allows active management of the City's legislative compliance requirements.

Other risk information

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.

OFFICER'S RECOMMENDATION MOVED Cr Kingston, SECONDED Cr O'Neill that the Audit and Risk Committee NOTES the 2025 Corporate Compliance Calendar as provided in Attachment 1 to this Report.

The Motion was Put and

CARRIED (7/0)

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

Against the Motion: Nil.

ATTACHMENTS

1. 2025 Corporate Compliance Calendar [8.1.1 - 26 pages]

8.2 BENEFITS REALISATION FRAMEWORK IMPLEMENTATION MAY 2025 (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').

PURPOSE

To provide an update to the Audit and Risk Committee on the implementation of the *Benefits Realisation Framework* and provide business improvement benefits reported up to end of Q3 2024-25.

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 at the August 2023 meeting.

Following endorsement of the Framework by the Chief Executive Officer in August 2023, it became operational in January 2025. An internal communications plan, and provision of staff training, have commenced to support staff to effectively identify, measure and report on benefits arising from internal improvement activities.

A data dashboard has been developed to summarise internal business improvement benefits reported to date, including data demonstrating tangible benefits reported.

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.

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 *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 Framework provides staff with the following:

- Contextual and practical information on the City's new approach to benefits realisation.
- An outline of the process for identifying, categorising, measuring and reporting business improvement benefits.
- Tools to assist staff with benefits realisation.

During the project to implement the Framework, regular reports were provided to the Audit and Risk Committee to outline progress, summarise key activities and provide examples of internal business improvement projects and both tangible and intangible benefits realised.

DETAILS

The implementation of the *Benefits Realisation Framework* project has now moved to the operational phase, with the launch of the Framework in January this year.

Key activities at this phase are as follows:

- Continuing to implement the internal communications plan to promote awareness of the Framework and prompt staff to engage with information materials and training.
- Delivery of benefits realisation training to business units.
- Assisting staff to realise and report internal business improvement benefits.
- Ongoing reporting to Audit and Risk Committee.

Summary of benefits reported:

As at the end of Q3, 2024-25, the following has been assessed through the Framework.

Number of internal business improvements	19
Total benefits	33
Tangible benefits	12
Intangible benefits	21

The following tangible benefits has been reported:

Benefit category	Benefits subcategory	Total
Financial	Reduced costs	\$606,000
	Costs avoided	\$125,000
Improved performance	Improved processes	627 hours officer time saved
	Improved processes	\$29,415* soft saving
Environmental	Reduced carbon footprint	0.15 tonnes CO ₂ emission reduction

**Soft savings represents the added value to the organisation when a process takes less time to complete, resulting in a productivity gain. Staff can use this time to work on other tasks which add value to the organisation, which can be expressed as a 'soft saving'.*

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

Risk management considerations in reports to Council consider the relevant strategic risk(s).

This category of risk requires input from Council and is managed by the Chief Executive Officer and relevant Director(s).

Strategic risks are external or internal risks that affect the achievement of the City's long-term objectives.

Strategic Risk Relationship

Risk	DECISIONS	WORKFORCE
Risk Event Description	Ineffective / improper decision making	Inability to attract or retain skilled and competent workforce
Risk Responsibility	Director Governance and Strategy	
Residual Risk	High	
Control Effectiveness	Strong	
Risk Appetite	High risk requires close monitoring with assurance of the highest levels of controls – strong – including plans for improving effectiveness levels.	
Risk Control	The relevant control, to mitigate risk, is the provision of reports summarising the value of internal business improvement activities.	

Other risk information

A *Benefits Realisation Framework* provides a mechanism for monitoring and reporting on benefits of internal business improvements and provides greater transparency of organisational performance. A consistent approach and auditing of data and information on benefits captured will provide greater rigour and accountability.

Financial / budget implications

Not applicable.

Regional significance

Not applicable.

Sustainability implications

The improvement projects and initiatives will be aligned to the key themes in *Joondalup 2032* which have been developed to ensure the sustainability of the City. It is anticipated that some improvement initiatives may lead to greater organisational sustainability and environmental sustainability.

Consultation

Not applicable.

COMMENT

Following the implementation of the *Benefits Realisation Framework*, internal business improvement benefits reporting has commenced.

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.

VOTING REQUIREMENTS

Simple Majority.

The Chief Executive Officer left the Room at 6.16pm and entered the Room at 6.20pm.

OFFICER'S RECOMMENDATION MOVED Cr Hutton, **SECONDED** Cr O'Neill that the Audit and Risk Committee **NOTES** the progress made and benefits realised, to date, in implementing the City's *Benefits Realisation Framework*.

The Motion was Put and

CARRIED (7/0)

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

Against the Motion: Nil.

ATTACHMENTS

Nil

8.3 CUSTOMER COMPLIMENTS AND COMPLAINTS - QUARTER 2 - 2024-25 (WARD ALL)

WARD	All
RESPONSIBLE DIRECTOR	Mr Jamie Parry Director Governance and Strategy
FILE NUMBER	48420,101515
AUTHORITY / DISCRETION	Information – includes items provided to Council for information purposes only that do not require a decision of Council (that is for 'noting').

PURPOSE

To provide the Audit and Risk Committee with a summary of compliments and complaints received by the City for Quarter 2 of FY2024-25 (Q2 FY24-25).

EXECUTIVE SUMMARY

At the Ordinary Council Meeting held on 28 November 2023 (CJ227-11/23 refers), Council approved the structure, scope, and timelines for a quarterly report. This ongoing report will be provided to the Audit and Risk Committee and will include information and analysis of customer complaints and feedback, highlighting any perceived trending issues within the community or City organisation.

The focus of this report will be on identifying common themes, patterns, and trends to provide an accurate representation of community sentiment.

In Q2 FY24-25, the City received 17,510 customer requests, of which 64 were complaints and 66 were compliments.

It is therefore recommended that the Audit and Risk Committee NOTES the report on customer compliments, complaints and feedback for Quarter 2 of FY2024-25.

BACKGROUND

The City regards the management of complaints as a crucial and integral component of its service, program, and project delivery. In any organisation, errors, misunderstandings, customer dissatisfaction, and unforeseen challenges are bound to arise. Effective complaint handling serves as a vital mechanism for addressing issues proactively and preventing their escalation.

The City's *Customer Service Charter* promotes the standards of service that customers can expect. While the City consistently strives to meet these standards. It is reasonable to acknowledge that, on occasion, the City may not meet the expectations of all residents.

To ensure the appropriate handling of complaints, well-defined procedures and guidelines are in place. These guidelines are in accordance with the Australian Standards on complaint handling (AS/NZS 10002:2022) and align with the requirements set forth by the Ombudsman of Western Australia.

Whenever possible, front-line staff address complaints directly at the point of service delivery. If a complaint cannot be resolved by front-line staff, it is escalated to the relevant business unit(s). In cases where further intervention is required or requested, the Customer Relations Advocate (CRA) collaborates with the appropriate business unit(s) to oversee the investigation and response.

The CRA also supports residents when a multifaceted resolution is required, ensuring the progression and effective management of matters across the City. This process enhances accountability and aids in achieving meaningful, lasting solutions when faced with complexity. Additionally, residents benefit from having a single point of contact who stewards their matters towards timely resolution, navigating and eliminating any impediments along the way.

All complaints are documented in the City's customer relationship management system, which serves as the single data source for reporting feedback. This data is then provided to the Executive Leadership Team in the monthly Communications and Stakeholder Relations business unit report.

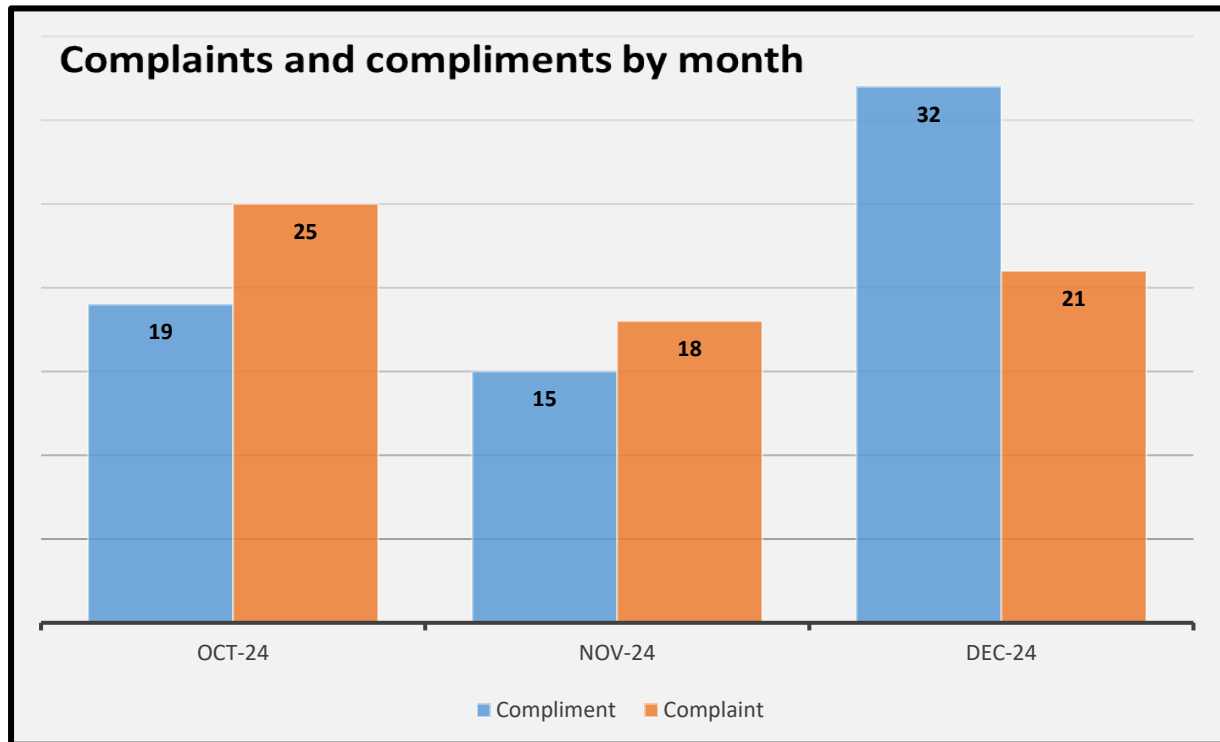
Definition And Clarification Of Complaints And Compliments

Complaint	<p>A statement of dissatisfaction from an individual or group relating to the products, quality of service, actions, or inactions of the City, its employees, or contractors.</p> <p>A complaint is not:</p> <ul style="list-style-type: none">▪ A request for service.▪ A comment, suggestion or opinion without a request for action or expression of dissatisfaction.▪ A complaint against another resident, business or group.
Compliment	<p>An expression of praise, appreciation, or congratulations on the quality of products, services, and decisions offered or provided by the City, its employees or contractors.</p>

DETAILS

Total feedback received – Q2 FY24-25

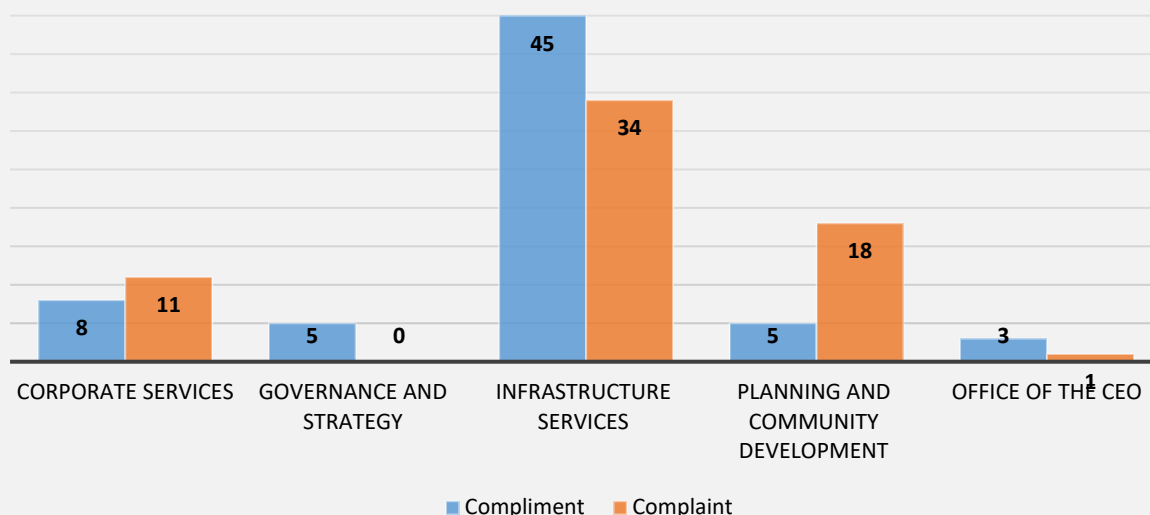
	Oct 2024	Nov 2024	Dec 2024	Total
Compliments	19	15	32	66
Complaints	25	18	21	64
Ombudsman	0	0	0	0
Mediations	5	0	2	7



Breakdown by Directorate

Directorate	October 2024		November 2024		December 2024		Quarter Total	
	Compliment	Complaint	Compliment	Complaint	Compliment	Complaint	Compliment	Complaint
Corporate Services	2	2	2	5	4	4	8	11
Governance and Strategy	0	0	3	0	2	0	5	0
Infrastructure Services	14	12	9	13	22	9	45	34
Planning and Community Development	2	10	0	0	3	8	5	18
Office of the CEO	1	1	1	0	1	0	3	1
TOTAL	19	25	15	18	32	21	66	64

Complaints and compliments by directorate



During Q2 FY24-25, Infrastructure Services received the most feedback, with 45 compliments and 34 complaints, indicating high customer engagement. The Planning and Community Development directorate saw an increase in complaints, with eight more than the previous quarter. This rise may be due to the introduction of new parking technologies. No other trends were identified.

Complaints by category

Category	Oct 2024	Nov 2024	Dec 2024
City contractors	6	1	3
City services	2	1	2
Unsubstantiated Complaints			
Policy or procedure	3	1	1
Fees and charges	1	3	
Conduct of staff	3	2	2
Delay in correspondence			1
Level of customer service			
Complaint about City facility or asset	2	4	3
Driving of city vehicles	1	1	
Other complaints	7	5	9
Ombudsman enquiries			

Mediation

Seven referrals were forwarded to the Citizens Advice Bureau on behalf of residents during Q2 FY24-25.

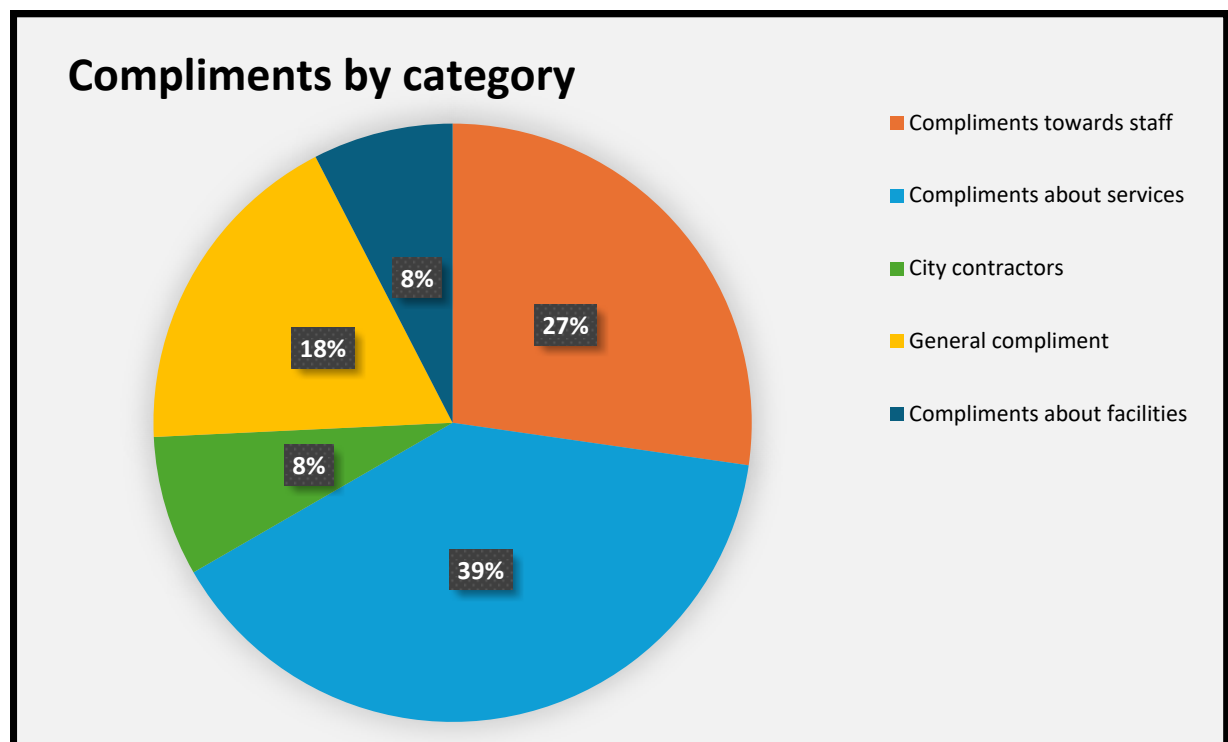
Two issues involved boundary disputes, two concerned trees on private property, and one related to a barking dog issue. Two cases were unsuitable for mediation due to pending court dates. All cases have now been finalised and files officially closed.

Ombudsman Western Australia

There were no complaints submitted via the Ombudsman during this quarter.

Compliments

Category	Oct 2024	Nov 2024	Dec 2024
Compliments towards staff	4	4	10
Compliments about services	6	7	13
City contractors	2	1	2
General compliment	6	2	4
Compliments about facilities	1	1	3



Legislation / Strategic Community Plan / Policy implications

Legislation Not applicable.

10-Year Strategic Community Plan

Key theme 5. Leadership.

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

Policy Not applicable.

Risk management considerations

Risk management considerations in reports to Council consider the relevant strategic risk(s).

This category of risk requires input from Council and is managed by the Chief Executive Officer and relevant Director(s).

Strategic risks are external or internal risks that affect the achievement of the City's long-term objectives.

Strategic Risk Relationship

Risk	DECISIONS	EXPECTATIONS	REPUTATION
Risk Event Description	Ineffective / improper decision making	Inability to understand community expectations	Loss of community trust
Risk Responsibility	Director Governance and Strategy		Chief Executive Officer
Residual Risk	High		
Control Effectiveness	Strong		
Risk Appetite	High risk requires close monitoring with assurance of the highest levels of controls – strong – including plans for improving effectiveness levels.		
Risk Control	The relevant control, to mitigate risk, is the reporting of compliments and complaints that can identify trends that may assist in the management of City operations.		

Financial / budget implications

Not applicable.

Regional significance

Not applicable.

Sustainability implications

Not applicable.

Consultation

Not applicable.

COMMENT

In Q2 FY24-25 the number of compliments and complaints were evenly balanced with no significant trends or issues identified. Overall, customer satisfaction remains strong.

Identifying and analysing trends in complaints helps to address systemic issues, while root cause analysis provides insights into long-term solutions. Balancing these factors, along with compliance, fairness, and actionable recommendations, forms the foundation for effective complaint management and organisational improvement.

VOTING REQUIREMENTS

Simple Majority.

The Manager Strategic and Organisational Development left the Room at 6.26pm.

Cr Vinciullo left the Room at 6.32pm and entered the Room at 6.37pm.

OFFICER'S RECOMMENDATION MOVED Cr Hutton, SECONDED Cr O'Neill that the Audit and Risk Committee NOTES the report on customer compliments, complaints and feedback for Quarter 2 of FY2024-25.

The Motion was Put and

CARRIED (7/0)

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

Against the Motion: Nil.

ATTACHMENTS

Nil

8.4 CUSTOMER COMPLIMENTS AND COMPLAINTS - QUARTER 3 - 2024-25 (WARD ALL)

WARD	All
RESPONSIBLE DIRECTOR	Mr Jamie Parry Director Governance and Strategy
FILE NUMBER	48420,101515
AUTHORITY / DISCRETION	Information – includes items provided to Council for information purposes only that do not require a decision of Council (that is for 'noting').

PURPOSE

To provide the Audit and Risk Committee with a summary of compliments and complaints received by the City for Quarter 3 of the FY2024-25 (Q3 FY24-25).

EXECUTIVE SUMMARY

At the Ordinary Council Meeting held on 28 November 2023 (CJ227-11/23 refers), Council approved the structure, scope, and timelines for a quarterly report. This ongoing report will be provided to the Audit and Risk Committee and will include information and analysis of customer complaints and feedback, highlighting any perceived trends within the community or organisation.

The focus of this report will be on identifying common themes, patterns, and trends to provide an accurate representation of community sentiment.

In Q3 FY24-25, the City received 18,444 customer requests, of which 39 were complaints and 50 were compliments.

It is therefore recommended that the Audit and Risk Committee NOTES the report on customer compliments, complaints and feedback for Quarter 3 of FY2024-25.

BACKGROUND

The City regards the management of complaints as a crucial and integral component of its service, program, and project delivery. In any organisation, errors, misunderstandings, customer dissatisfaction, and unforeseen challenges are bound to arise. Effective complaint handling serves as a vital mechanism for addressing issues proactively and preventing their escalation.

The City's Customer Service Charter promotes the standards of service that customers can expect. While the City consistently strives to meet these standards, it is reasonable to acknowledge that, on occasion, the City may not meet the expectations of all residents.

To ensure the appropriate handling of complaints, well-defined procedures and guidelines are in place. These guidelines are in accordance with the Australian Standards on complaint handling (AS/NZS 10002:2022) and align with the requirements set forth by the Ombudsman of Western Australia.

Whenever possible, front-line staff address complaints directly at the point of service delivery. If a complaint cannot be resolved by front-line staff, it is escalated to the relevant business unit(s). In cases where further intervention is required or requested, the Customer Relations Advocate (CRA) collaborates with the appropriate business unit(s) to oversee the investigation and response.

The CRA also supports residents when a multifaceted resolution is required, ensuring the progression and effective management of matters across the City. This process enhances accountability and aids in achieving meaningful, lasting solutions when faced with complexity. Additionally, residents benefit from having a single point of contact who stewards their matters towards timely resolution, navigating and eliminating any impediments along the way.

All complaints are documented in the City's customer relations management system, which serves as the single data source for reporting. This data is then reported to the Executive Leadership Team in the monthly Communications and Stakeholder Relations business unit report.

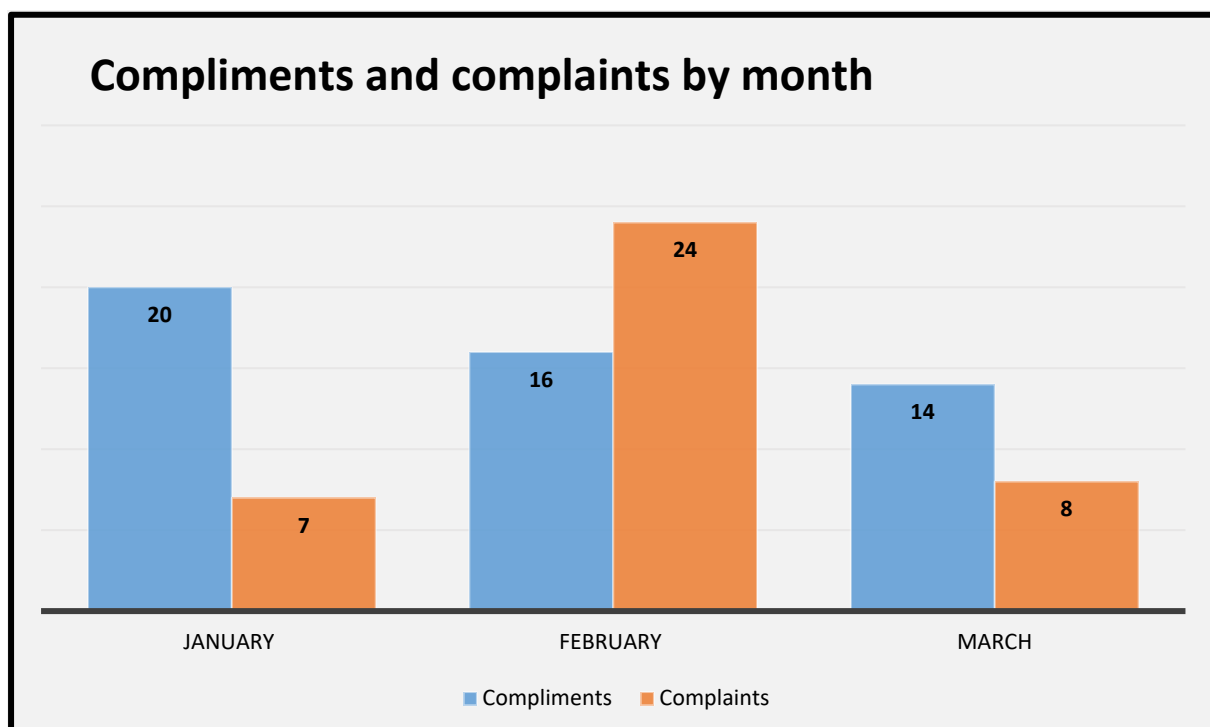
Definition And Clarification Of Complaints And Compliments

Complaint	<p>A statement of dissatisfaction from an individual or group relating to the products, quality of service, actions, or inactions of the City, its employees, or contractors.</p> <p>A complaint is not:</p> <ul style="list-style-type: none"> ▪ A request for service. ▪ A comment, suggestion or opinion without a request for action or expression of dissatisfaction. ▪ A complaint against another resident, business or group.
Compliment	<p>An expression of praise, appreciation, or congratulations on the quality of products, services, and decisions offered or provided by the City, its employees or contractors.</p>

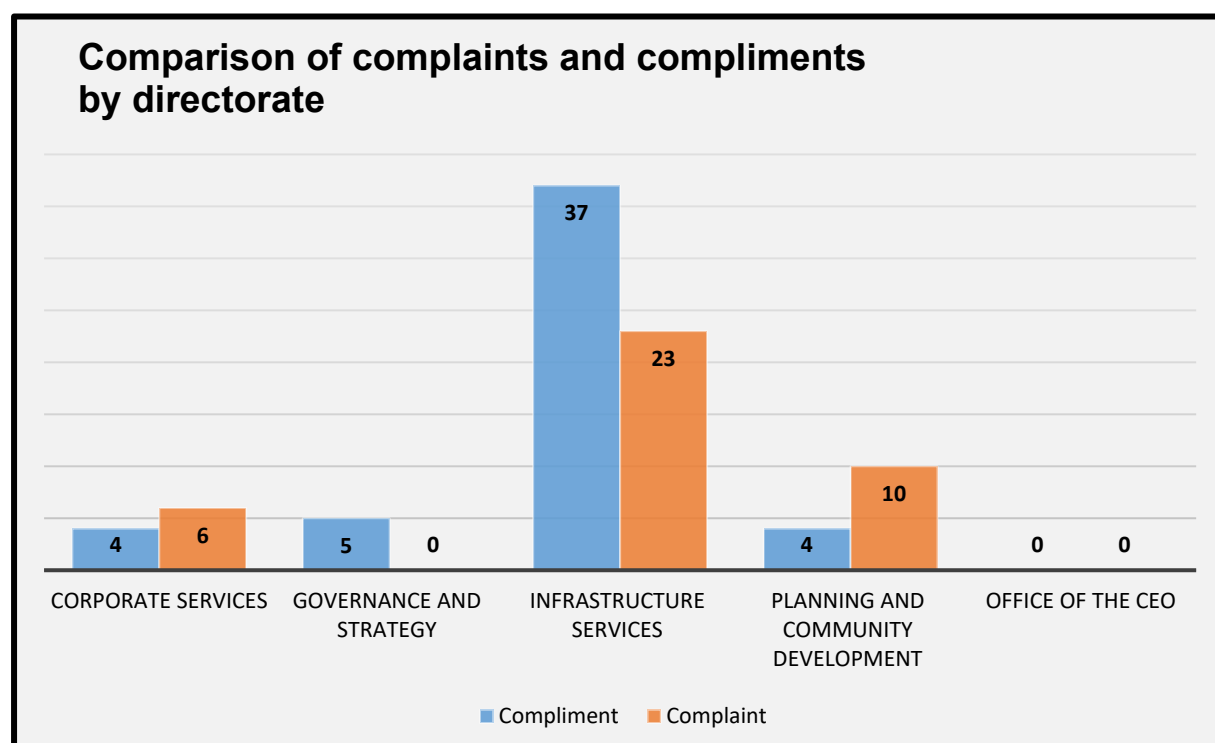
DETAILS**Feedback received – Q3 FY24-25**

	Jan 2025	Feb 2025	Mar 2025	Total
Compliments	20	16	14	50
Complaints	6	24	8	38
Ombudsman*	1	0	0	1
Mediations	2	1	2	5

Complaints received via the Ombudsman are itemised above, emphasising the complaint's distinct method of receipt. Moving forward, complaints received through the Ombudsman and directly from residents will be categorised together.



50 compliments and 39 complaints were recorded in Q3 FY24-25.



Breakdown by Directorate

Directorate	January 2025		February 2025		March 2025		Quarter Total	
	Compliment	Complaint	Compliment	Complaint	Compliment	Complaint	Compliment	Complaint
Corporate Services	1	2	3	3	0	1	4	6
Governance and Strategy	2	0	2	0	1	0	5	0
Infrastructure Services	17	4	9	15	11	4	37	23
Planning and Community Development	0	1	2	6	2	3	4	10
Office of the Chief Executive	0	0	0	0	0	0	0	0
TOTAL	20	7	16	24	14	8	50	39

In February 2025, the City received a higher volume of infrastructure services-related complaints compared to preceding and subsequent months. A review of the data indicated that the complaints were broad in nature, with no evidence of systemic issues or trends identified. The matters raised primarily related to verge tree management policies, waste service expectations, and park maintenance, with responses promptly actioned in accordance with City procedures.

Infrastructure Services also received the highest number of compliments consistent with previous quarters. This high volume of feedback demonstrates the significant customer engagement undertaken by the directorate.

Feedback is an essential tool for recognising operational strengths, understanding the needs and values of service users and assisting with the City's continuous improvement.

Complaints by category

Category	Jan 2025	Feb 2025	Mar 2025
City contractors		7	4
City services	1	2	1
Unsubstantiated Complaints		2	
Policy or procedure			1
Fees and charges	1		
Conduct of staff	1	4	2
Delay in correspondence	1		
Level of customer service			
Complaint about City facility or asset		1	
Driving of city vehicles			
Other complaints	2	8	
Ombudsman enquiries	1		

Mediation

Five referrals were forwarded to the Citizens Advice Bureau during Q3 FY24-25.

Three issues related to boundary disputes and two related to trees on private property. One tree dispute remains in mediation, four have been finalised.

Ombudsman Western Australia

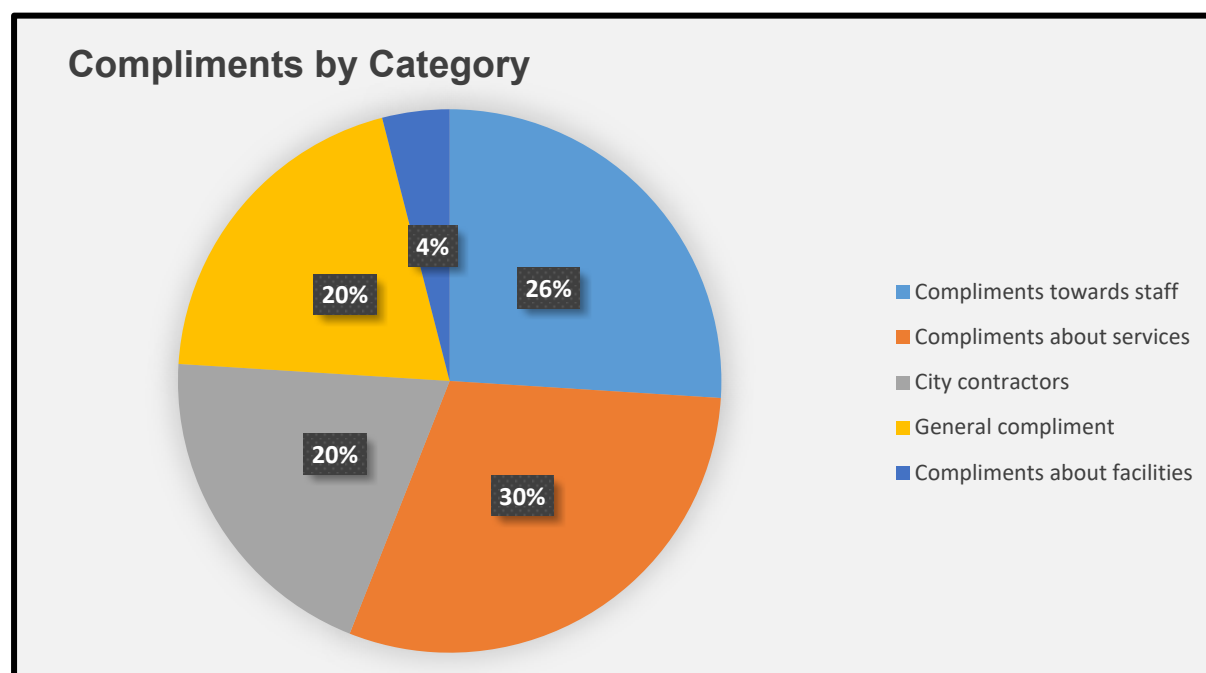
One enquiry was received from the office of the Western Australia Ombudsman in this quarter.

This enquiry relates to the City of Joondalup's decision not to waive the interest charge on the late payment of rates for a resident's investment property. They assert that due to an incorrect address on the Landgate paperwork, they did not receive the rates notice and were only informed of the debt collection process late in its progression.

Status – pending.

Compliments by category

Category	Jan 2025	Feb 2025	Mar 2025
Compliments towards staff	3	5	5
Compliments about services	6	4	5
City contractors	6	3	1
General compliment	3	4	3
Compliments about facilities	2	0	0



Legislation / Strategic Community Plan / Policy implications

Legislation Not applicable.

10-Year Strategic Community Plan

Key theme 5. Leadership.

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

Policy Not applicable.

Risk management considerations

Risk management considerations in reports to Council consider the relevant strategic risk(s).

This category of risk requires input from Council and is managed by the Chief Executive Officer and relevant Director(s).

Strategic risks are external or internal risks that affect the achievement of the City's long-term objectives.

Strategic Risk Relationship

Risk	DECISIONS	EXPECTATIONS	REPUTATION
Risk Event Description	Ineffective / improper decision making	Inability to understand community expectations	Loss of community trust
Risk Responsibility	Director Governance and Strategy		Chief Executive Officer
Residual Risk	High		
Control Effectiveness	Strong		
Risk Appetite	High risk requires close monitoring with assurance of the highest levels of controls – strong – including plans for improving effectiveness levels.		
Risk Control	The relevant control, to mitigate risk, is the reporting of compliments and complaints that can identify trends that may assist in the management of City operations.		

Financial / budget implications

Not applicable.

Regional significance

Not applicable.

Sustainability implications

Not applicable.

Consultation

Not applicable.

COMMENT

Customer compliments significantly outnumber complaints in Q3 FY24-25 and no significant trends or issues have been identified. Overall, customer satisfaction remains strong.

Identifying and analysing trends in complaints helps to address systemic issues, while root cause analysis provides insights into long-term solutions. Balancing these factors, along with compliance, fairness, and actionable recommendations, forms the foundation for effective complaint management and organisational improvement.

VOTING REQUIREMENTS

Simple Majority.

The Manager Strategic and Organisational Development left the Room at 6.26pm.

Cr Kingston left the Room at 6.46pm and entered the Room at 6.48pm.

OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Hutton that the Audit and Risk Committee NOTES the report on customer compliments, complaints and feedback for Quarter 3 of FY2024-25.

The Motion was Put and

CARRIED (7/0)

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

Against the Motion: Nil.

ATTACHMENTS

Nil

8.5 ELECTED MEMBER DINNER REPORT QUARTER 2 - OCTOBER TO DECEMBER 2024 (WARD - ALL)

WARD	All
RESPONSIBLE DIRECTOR	Mr Jamie Parry Director Governance and Strategy
FILE NUMBER	110756, 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').

PURPOSE

For the Audit and Risk Committee to note attendees to Elected Member Dinners as per Clause 10 of the *Elected Members' Entitlements Council 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 Council 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 Council 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 proceed, a minimum of three Elected Members must indicate their intent to host a table. In Quarter 2 of financial year 2024-25 (Q2 FY24-25) this quota was met once.

It is therefore recommended that the Audit and Risk Committee NOTES that one Elected Member Dinner was held on 25 October 2024 IN Quarter 2 FY24-25.

BACKGROUND

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

- "a To provide an avenue to facilitate networking possibilities and for elected members to undertake discussions with various representatives of the community, the Council has agreed to host Elected Member dinners.*
- b The Mayor is entitled to host six dinners per calendar year, and each Ward a total of 12 each year, based on six dinners per Ward Councillor.*

-
- c *Each table will allow for the Elected Member as host, plus up to a maximum of nine guests. Except for the Elected Member's spouse or partner, all guests invited are to have a relationship with the City or be a stakeholder of the City. Prior to an Elected Member dinner, elected members are to advise the City the details of their invited guests and their relationship with the City. Details of invited guests that attend elected member dinners are to be reported to the Audit and Risk Committee on a quarterly basis.*

DETAILS

Elected Members are entitled, under the *Elected Members' Entitlement Council 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 Council 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

Risk management considerations in reports to Council consider the relevant strategic risk(s).

This category of risk requires input from Council and is managed by the Chief Executive Officer and relevant Director(s).

Strategic risks are external or internal risks that affect the achievement of the City's long-term objectives.

Strategic Risk Relationship

Risk	DECISIONS	EXPECTATIONS	REPUTATION
Risk Description	Ineffective / improper decision making	Inability to understand community expectations	Loss of community trust
Risk Responsibility	Director Governance and Strategy		Chief Executive Officer
Residual Risk	Medium		
Control Effectiveness	Strong		
Risk Appetite	Medium risk is acceptable without variation to existing control activities.		
Risk Control	The relevant control, to mitigate risk, is the provision of a report detailing activities that contribute to compliance with the <i>Elected Members' Entitlements Council Policy</i> .		

Risk	ATTRACTION
Risk Description	Lack of desirability as a place to visit live, work, invest and do business
Risk Responsibility	Director Planning and Community Development
Residual Risk	Medium
Control Effectiveness	Strong
Risk Appetite	Medium risk is acceptable without variation to existing control activities.
Risk Control	The relevant control, to mitigate risk, is the provision of a report detailing activities that contribute to compliance with the <i>Elected Members' Entitlements Council Policy</i> .

Financial / budget implications

The 2024-25 budget for elected member dinners is \$15,000 (excluding staffing costs).

All amounts quoted in this report are exclusive of GST.

Regional significance

Not applicable.

Sustainability implications

Not applicable.

Consultation

Not applicable.

COMMENT

Elected Members are entitled, under the *Elected Members' Entitlement Council 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 Council 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.*".

One Elected Member Dinner was held in Quarter 2 FY24-25.

VOTING REQUIREMENTS

Simple Majority.

OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Raftis that the Audit and Risk Committee NOTES one Elected Member Dinner was held in Quarter 2 between October and December 2024 in Quarter 2 FY24-25.

The Motion was Put and

CARRIED (7/0)

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

Against the Motion: Nil.

ATTACHMENTS

1. CONFIDENTIAL REDACTED - RSVP List Elected Member Dinner - 25 October 2024
[8.5.1 - 1 page]

8.6 ELECTED MEMBER DINNER REPORT QUARTER 3 - JANUARY TO MARCH 2025 (WARD - ALL)

WARD	All
RESPONSIBLE DIRECTOR	Mr Jamie Parry Director Governance and Strategy
FILE NUMBER	110756, 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').

PURPOSE

For the Audit and Risk Committee to note attendees to Elected Member Dinners as per Clause 10 of the *Elected Members' Entitlements Council 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 Council 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 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 proceed, a minimum of three Elected Members must elect to host a table. In Quarter 3 of the financial year 2024-25 (Q3 FY24-25) this quota was not met.

It is therefore recommended that the Audit and Risk Committee NOTES no Elected Member Dinners were held in Quarter 3 FY24-25.

BACKGROUND

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

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

DETAILS

Elected Members are entitled, under the *Elected Members' Entitlement Council 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 Council 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

Risk management considerations in reports to Council consider the relevant strategic risk(s).

This category of risk requires input from Council and is managed by the Chief Executive Officer and relevant Director(s).

Strategic risks are external or internal risks that affect the achievement of the City's long-term objectives.

Strategic Risk Relationship

Risk	DECISIONS	EXPECTATIONS	REPUTATION
Risk Description Event	Ineffective / improper decision making	Inability to understand community expectations	Loss of community trust
Risk Responsibility	Director Governance and Strategy		Chief Executive Officer
Residual Risk	Medium		
Control Effectiveness	Strong		
Risk Appetite	Medium risk is acceptable without variation to existing control activities.		
Risk Control	The relevant control, to mitigate risk, is the provision of a report detailing activities that contribute to compliance with the <i>Elected Members' Entitlements Council Policy</i> .		

Risk	ATTRACTION
Risk Event Description	Lack of desirability as a place to visit live, work, invest and do business
Risk Responsibility	Director Planning and Community Development
Residual Risk	Medium
Control Effectiveness	Strong
Risk Appetite	Medium risk is acceptable without variation to existing control activities.
Risk Control	The relevant control, to mitigate risk, is the provision of a report detailing activities that contribute to compliance with the <i>Elected Members' Entitlements Council Policy</i> .

Financial / budget implications

The 2024-25 budget for elected member dinners is \$15,000 (excluding staffing costs).

All amounts quoted in this report are exclusive of GST.

Regional significance

Not applicable.

Sustainability implications

Not applicable.

Consultation

Not applicable.

COMMENT

Elected Members are entitled, under the *Elected Members' Entitlement Council 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 Council 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 proceed, a minimum of three Elected Members must elect to host a table. No dinners were held in Quarter 3 FY24-25 as the quota was not met.

VOTING REQUIREMENTS

Simple Majority.

OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Vinciullo that the Audit and Risk Committee NOTES no Elected Member Dinners were held in Quarter 3 FY24-25.

The Motion was Put and

CARRIED (7/0)

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

Against the Motion: Nil.

ATTACHMENTS

Nil

8.7 REVIEW OF CITY FLEET VEHICLES (WARD - ALL)

WARD	All
RESPONSIBLE DIRECTOR	Mr Nico Claassen Director Infrastructure Services
FILE NUMBER	08178, 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').

PURPOSE

For the Audit and Risk Committee to receive information on City of Joondalup employees' use of fleet vehicles.

EXECUTIVE SUMMARY

At the Audit and Risk Committee meeting held on 11 March 2024, under the 'Request for Reports for Future Consideration' section, the following was requested:

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

Vehicle fuel consumption is monitored periodically throughout the year for anomalies and trend analysis using fuel transactions to monitor for transaction size against vehicle fuel capacity and travel distances. A more comprehensive analysis is conducted annually when calculating vehicle whole of life costs, which is used in determining the best value for money purchases for the City in the upcoming year.

Data obtained from fuel and GPS records show that per vehicle in each, like group and make/model, no unexplainable anomalies are obvious in fuel consumption. Vehicles reflecting a higher consumption are typically used for irrigation, roadside work, surveying and so on as these utilise amber directional lighting and sundry power or hydraulic tools.

It is therefore recommended that the Audit and Risk Committee NOTES the information on City of Joondalup employees' use of fleet vehicles contained within this Report.

BACKGROUND

At the Audit and Risk Committee meeting held on 11 March 2024, under the 'Request for Reports for Future Consideration' section, the following was requested:

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

DETAILS

The City delivers a variety of services to the community and manages the fleet assets utilised to provide these services in a way that optimises their performance, resulting in the lowest whole of life cost.

The City's *Climate Change Strategy 2014-19* contains a range of Climate Change Strategy Projects to mitigate the effects of climate change. Under the key focus area of Infrastructure and Assets, Project 1.10 City Fleet Project is listed with the following objectives:

- Ensure the City's Fleet Asset Management plan gives adequate consideration to greenhouse gas emissions and environmental impact of vehicles.
- Reduce the net greenhouse gas emissions associated with the City's fleet.

At its meeting held on 18 May 2021 (CJ063-05/21 refers) Council resolved, amongst other things, as follows

"4.2 SUPPORTS the purchasing of vehicles, including electric and/or hybrid vehicles, where the vehicle is fit for purpose and has an equal whole of life cost or lower;"

In alignment with the above, the City undertakes an assessment to determine the whole of life cost using fleet data. This whole of life calculation takes into consideration purchase price, running costs (including fuel and servicing), and end of life trade-in value. Additionally, it takes into consideration carbon dioxide emissions and safety ratings to optimise evaluations. The City purchases vehicles using the State Government vehicle common use agreement contract and only vehicles listed under this contract are included in the evaluation.

The above assessment provides the City with fit for purpose vehicles at the lowest whole of life costs as the data analysis used to determine the whole of life cost is based on repeatable and reliable data. Without this an informed decision cannot be made.

The City's fleet uses a variety of fuel sources including diesel (93%) and unleaded petrol (7%). The City's fleet consists of turf maintenance machines, trailers, loaders, weed sprayers, sweepers, water pumps, passenger sedans, light commercial vehicles and a variety of trucks.

The City currently has 129 light vehicles consisting of 75 utilities, 23 vans, and 31 passenger cars with varying degrees of usage based on the employee allocation.

VEHICLE USAGE TYPE	EMPLOYEE ALLOCATION	NUMBER OF VEHICLES
Work Use	General employee	55
Commute Use	Reserved for those who supervise teams and / or required to respond outside normal hours	45
Restricted Private	Typically for coordinators or specialist technical officers	25
Unrestricted Private	Held by those with this use included the employee's contract	4

The table below illustrates the average fuel consumption and kilometres travelled by each vehicle category and by use type, over a six month period from 1 July 2024 to 31 December 2024.

VEHICLE TYPE	AVERAGE FUEL LITRES PER 100KM	AVERAGE ANNUAL KM
Passenger Cars with private use	5.97	14,733
Passenger Cars with commute use	8.61	9,147
Passenger Cars with work use only	7.18	10,267
4x2 Utilities with private use	7.78	20,143
4x2 Utilities with commute use	8.86	11,368
4x2 Utilities with work use only	11.46	11,112
4x4 Utilities with private use	7.99	13,472
4x4 Utilities with work use only	10.54	17,123
Vans with commute use	9.43	16,305
Vans with work use only	8.43	10,136

Passenger Cars

- Private Use – shows better fuel consumption due to longer consistent journeys of a private nature.
- Commute and Work Use – these vehicles have typically shorter routes and longer idles times that reflect the higher fuel consumption.

4x2 Utilities

- Private Use – shows better fuel consumption due to longer consistent journeys of a private nature.
- Commute Use – these vehicles have typically shorter routes and longer idles times that reflect the higher fuel consumption.
- Work Use – these vehicles are typically those used for short trips, day-to-day fieldwork, utilising lights, beacons and power for work tasks.

4x4 Utilities

- Private Use – shows better fuel consumption due to longer consistent journeys of a private nature.
- Work Use - these vehicles are typically those used for short trips, day-to-day fieldwork, utilising lights, beacons and power for work tasks in off-road natural areas.

Vans

- Commute Use - these vehicles have typically shorter routes and longer idles times that reflect the higher fuel consumption. These vehicles are older models currently in the process of replacement with new more efficient models.
- Work Use - these vehicles are typically those used for short trips, day-to-day fieldwork, utilising lights, beacons and power for work tasks.

Vehicle fuel consumption is monitored periodically throughout the year for anomalies and trend analysis using fuel transactions to monitor for transaction size against vehicle fuel capacity and travel distances. A more comprehensive analysis is conducted annually when calculating vehicle whole of life costs, which is used in determining the best value for money purchases for the City in the upcoming year.

Data obtained from fuel and GPS records show that per vehicle in each, like group and make/model, no unexplainable anomalies are obvious in fuel consumption. Vehicles reflecting a higher consumption are typically used for irrigation, roadside work, surveying and so on as these utilise amber directional lighting and sundry power or hydraulic tools.

As per Council's decision, 18 May 2021 (CJ063-05/21 refers), the City is actively transitioning to lower emission vehicles in its fleet and to date has added 11 electric vehicles to the City's fleet and installed 15 grant funded EV charging points to support this change in the fleet. Electric vehicles are preferably allocated as private use vehicles as it attracts, at the current time, zero fringe benefit tax (FBT) and has minimal operating costs (power and once a year service). The City has also recently purchased 7 hybrid vehicles typically consuming 50% less fuel compared to non-hybrid vehicles.

The market is routinely monitored for changes and improvements in vehicle technologies. These newer vehicle types and models will be added to the fleet if cost effective and where compatible with requirements.

Issues and options considered

Not applicable.

Legislation / Strategic Community Plan / Policy implications

Legislation Not applicable.

10-Year Strategic Community Plan

Key theme 5. Leadership.

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

Policy Not applicable.

Risk management considerations

Risk management considerations in reports to Council consider the relevant strategic risk(s).

This category of risk requires input from Council and is managed by the Chief Executive Officer and relevant Director(s).

Strategic risks are external or internal risks that affect the achievement of the City's long-term objectives.

Strategic Risk Relationship

Risk	DECISIONS	EXPECTATIONS	REPUTATION
Risk Description	Work program delays due to breakdown of plant, equipment or vehicles.	Goal - Leadership, RMF - Service Delivery	Loss of community trust
Risk Responsibility	Director Infrastructure Services		Chief Executive Officer
Residual Risk	Medium		
Control Effectiveness	Adequate		
Risk Appetite	High risk requires close monitoring with assurance of the highest levels of controls – strong – including plans for improving effectiveness levels.		
Risk Control	<p>Implement the vehicle and plant equipment maintenance schedule in accordance with manufacturers specifications to reduce incidents of unplanned repairs/failure, taking action to correct or report issues as appropriate.</p> <p>Create the Fleet Replacement Program - Update replacement program data Review requirements for replacements annually through the Fleet Replacement Program.</p>		

Financial / budget implications

The City has budgeted an amount of \$945,307 for fuel and the amount spent to date is \$602,039.

Regional significance

Not applicable.

Sustainability implicationsEnvironmental

At its meeting held on 18 May 2021, as per Council's decision (CJ063-05/21 refers), the City has taken a number of steps to reduce the emissions from its fleet vehicles including purchasing electric and hybrid vehicles and where possible replacing larger vehicles with four cylinder vehicles.

The State Electric Vehicle Strategy for Western Australia includes a target to achieve a minimum of 25% electric vehicles for all new light and small passenger, and small and medium SUV government fleet vehicles by 2025-26.

Consultation

Not applicable.

COMMENT

The City's fleet uses a variety of fuel sources including diesel (93%) and unleaded petrol (7%). The City's fleet consists of turf maintenance machines, trailers, loaders, weed sprayers, sweepers, water pumps, passenger sedans, light commercial vehicles and a variety of trucks.

Vehicle fuel consumption is monitored periodically throughout the year for anomalies and trend analysis using fuel transactions to monitor for transaction size against vehicle fuel capacity and travel distances. A more comprehensive analysis is conducted annually when calculating vehicle whole of life costs, which is used in determining the best value for money purchases for the City in the upcoming year.

Data obtained from fuel and GPS records show that per vehicle in each, like group and make/model, no unexplainable anomalies are obvious in fuel consumption. Vehicles reflecting a higher consumption are typically used for irrigation, roadside work, surveying and so on as these utilise amber directional lighting and sundry power or hydraulic tools.

VOTING REQUIREMENTS

Simple Majority.

The Director Governance and Strategy left the Room at 6.57pm and entered the Room at 6.58pm.

OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Vinciullo that the Audit and Risk Committee NOTES the information on City of Joondalup employees' use of fleet vehicles contained within this Report.

The Motion was Put and

CARRIED (7/0)

In favour of the Motion: Cr Raftis, Cr Hutton, Cr Kingston, Cr O'Neill, Cr Pizzey, Cr Vinciullo and Mr Hall.
Against the Motion: Nil.

ATTACHMENTS

Nil

8.8 STATUS UPDATE - OFFICE OF THE AUDITOR GENERAL PERFORMANCE AUDIT INTO STAFF EXIT CONTROLS (WARD - ALL)

WARD	All
RESPONSIBLE DIRECTOR	Mr James Pearson Chief Executive Officer
FILE NUMBER	106169, 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').

PURPOSE

For the Audit and Risk Committee to note the status update report of the implementation of the recommendations from the Office of the Auditor General performance audit report into the management of staff exit controls at large local government entities.

EXECUTIVE SUMMARY

At the Audit and Risk Committee meeting held on 28 October 2024, the Office of the Auditor General performance audit report into the management of staff exit controls at local government entities, as tabled in Parliament on 28 June 2024, was presented.

Representatives from the Office of the Auditor General and Paxon Business and Financial Services Pty Ltd were also in attendance.

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

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

The recommendations assigned to the City were accepted for implementation.

It is therefore recommended that the Audit and Risk Committee NOTES the status update report of the implementation of the recommendations from the Office of the Auditor General performance audit report into the management of staff exit controls at large local government entities.

BACKGROUND

Paxon Business and Financial Services Pty Ltd were engaged by the Office of the Auditor General to conduct the performance audit; with an audit entry meeting held on 20 March 2024, and audit exit meeting held on 19 April 2024.

The audit included the following entities:

- City of Armadale.
- City of Canning.
- City of Gosnells.
- City of Joondalup.
- City of Rockingham.
- City of Stirling.
- City of Swan.
- City of Wanneroo.

The audit covered the period 1 January 2023 to 31 December 2023.

In conducting the audit, the auditors performed the following:

- Held entrance meetings with the entities.
- Met with the Department of Local Government, Sport and Cultural Industries and local government sector bodies (Western Australian Local Government Association and Local Government Professionals).
- Reviewed policy and procedure documents and supporting templates.
- Held meetings with key staff from human resources, payroll, finance, IT and security to gain an understanding of processes and perform walkthroughs.
- Tested a sample of 15 exits at each entity to provide coverage of high level of responsibility positions or data access, field operatives and casual staff. This included 101, or 10%, of permanent staff and 19 casual staff.
- Sought evidence of exit processes:
 - termination checklists had been completed before or on the staff exit date and signed by the relevant authority
 - building access cards had been de-activated and/or keys had been collected prior to staff leaving
 - assets issued to staff (computers, tablets, mobile phones, vehicles) were returned
 - credit cards were returned and cancelled
 - access to the entity's IT systems was revoked within 24 hours of their departure
 - an exit interview was offered or conducted
 - final payments reviewed and money owed to the entity was identified and paid at the time of leaving
 - risks posed by departing staff and circumstances of their exit were assessed.
- Sought data on all exits to perform data analysis to assess the timeliness of the cancellation of IT and physical security access.

The Office of the Auditor General performance audit report into the management of staff exit controls at large local government entities, is attached for information.

DETAILS

While the City was recognised for having processes in place and being a best practice example among the selected entities, the performance audit provided valuable insights into current practices and areas for improvement.

There were two focus points that required change in the City's process.

Identifying and capturing assets and access for each staff member

The City was required to implement a process to capture what identifiable assets each staff member has been issued. There is now a feature within Aurion, the City's human resource information system, which serves as an asset/access register and will be maintained by supervisors.

When a staff member receives a City-allocated asset, and subsequently exits the City, their supervisor will be required to update the register, including when the asset was returned or revoked.

Asset recovery includes the following:

- Computer equipment – laptops, desktops and mobile devices issued by the City are returned to the Information Technology business unit for wiping and reallocation.
- Documents and files – all physical documents, files and any confidential materials are collected and properly stored or disposed of, in accordance with retention policies.
- Access cards and keys – building access cards, keys for buildings and gates, carpark remotes and any other physical access devices are collected and deactivated to maintain premise security.
- Identification badges and authorisation cards – staff identification badges and authorisation cards are collected and destroyed to prevent unauthorised use or impersonation after exiting.

An alert system within Aurion flag instances where the exit date has passed without a return date being entered; supervisors are contacted to ensure the assets have been returned and the return date updated.

Access revocation includes the following:

- IT systems – are to be revoked within 24-hours of a staff member, external contractor or agency worker's exit date or notification of exit date. This includes email accounts, internal networks and any cloud-based services used by the City.
- Building access – physical access to City buildings are to be promptly disabled upon departure. This includes deactivating security passes and removing access where applicable.
- Banking delegations – banking or financial delegations are revoked to protect financial assets and prevent unauthorised transactions.

A monitoring system is being implemented to track and verify that all access revocations are completed, ensuing compliance and security.

Limiting access to systems for casual employees, external contractors and agency workers

A renewable strict six-month limitation has been imposed on system and building access for all casual employees, external contractors and agency workers. If continued access is required beyond the six-month period, a formal renewal process must be initiated via the City's building and system user request forms. This will enhance security and ensures regular review of access privileges.

Improvement activities

Improvement activities underway and not yet fully implemented include the following:

- System changes within the City's human resource information system to allow for a repository for volunteer data.
- Review of the City's *Positions of Trust* to evaluate risk posed by different positions and termination types. This will lead into developing and documenting procedures to manage the risks effectively and efficiently.

Legislation / Strategic Community Plan / Policy implications

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

10-Year Strategic Community Plan

Key theme 5. Leadership.

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

Policy Not applicable.

Risk management considerations

Risk management considerations in reports to Council consider the relevant strategic risk(s).

This category of risk requires input from Council and is managed by the Chief Executive Officer and relevant Director(s).

Strategic risks are external or internal risks that affect the achievement of the City's long-term objectives.

Strategic Risk Relationship

Risk	HEALTH/SAFETY	REPUTATION
Risk Event Description	Failure to maintain a safe and healthy workplace	Loss of community trust
Risk Responsibility	Chief Executive Officer	
Residual Risk	High	
Control Effectiveness	Strong	
Risk Appetite	High risk requires close monitoring with assurance of the highest levels of controls – strong – including plans for improving effectiveness levels.	
Risk Control	The relevant treatment, to mitigate risk, is the implementation of improvements identified by the Office of the Auditor General, along with ongoing reviews of control effectiveness.	

Financial / budget implications

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

Regional significance

The delivery of services across the region serviced by the City of Joondalup is affected by the effectiveness of City controls.

Sustainability implications

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

Consultation

Internal consultation with relevant officers occurred for this performance audit, including the implementation of recommendations.

COMMENT

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

The improvements implemented by the City will be tested on an annual basis by the Office of the Auditor General, as part of reviewing offboarding transactions. Ongoing review of the improvements implemented will be undertaken by the City to determine whether all the practices put in place are working effectively, with improvements and/or corrections made if required.

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

VOTING REQUIREMENTS

Simple Majority.

OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Hutton that the Audit and Risk Committee NOTES the status update report of the implementation of the recommendations from the Office of the Auditor General performance audit report into the management of staff exit controls at large local government entities.

The Motion was Put and

CARRIED (7/0)

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

Against the Motion: Nil.

ATTACHMENTS

1. Office of Auditor General Report 25 - 2023-24 (28 June 2024) [8.8.1 - 30 pages]

8.9 CONFIDENTIAL - CORPORATE CREDIT CARD STATEMENTS JANUARY 2025 TO MARCH 2025 (WARD - ALL)

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

This report is confidential in accordance with s5.23(2) of the *Local Government Act 1995*, which permits the meeting to be closed to the public for business relating to the following:

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

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

OFFICER'S RECOMMENDATION MOVED Cr Vinciullo, SECONDED Cr Hutton that the Audit and Risk Committee NOTES the copies of corporate credit card statements for January 2025 to March 2025.

The Motion was Put and

CARRIED (6/1)

In favour of the Motion: Cr Raftis, Cr Hutton, Cr Kingston, Cr Pizzey, Cr Vinciullo and Mr Hall.

Against the Motion: Cr O'Neill.

8.10 CONFIDENTIAL - OPERATIONAL RISK REGISTERS AND ANNUAL REVIEW OF RISK MANAGEMENT FRAMEWORK

WARD	All
RESPONSIBLE DIRECTOR	Mr James Pearson Chief Executive Officer
FILE NUMBER	10011
AUTHORITY / DISCRETION	Information – includes items provided to Council for information purposes only that do not require a decision of Council (that is for 'noting').

This report is confidential in accordance with s5.23(2) of the *Local Government Act 1995*, which permits the meeting to be closed to the public for business relating to the following:

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

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

Cr Pizzey left the Room at 7.30pm and entered the Room at 7.32pm.

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

- 1 The City's 18 operational risk registers, forming Attachments 4 to 8 to this Report;**
- 2 The new approach of an overarching *Risk Management Framework*;**
- 3 The new framework and associated documents will be presented to the Committee at its meeting to be held on 4 August 2025.**

The Motion was Put and

CARRIED (7/0)

In favour of the Motion: Cr Raftis, Cr Hutton, Cr Kingston, Cr O'Neill, Cr Pizzey, Cr Vinciullo and Mr Hall.
Against the Motion: Nil.

8.11 CONFIDENTIAL - REVIEW INTO PROJECT AXIOM (WARD - ALL)

WARD	All
RESPONSIBLE DIRECTOR	Mr James Pearson Chief Executive Officer
FILE NUMBER	111375
AUTHORITY / DISCRETION	Information – includes items provided to Council for information purposes only that do not require a decision of Council (that is for 'noting').

This report is confidential in accordance with s5.23(2) of the *Local Government Act 1995*, which permits the meeting to be closed to the public for business relating to the following:

- (c) *a contract entered into, or which may be entered into, by the local government and which relates to a matter to be discussed at the meeting.*
- (d) *legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting.*
- (e) *a matter that if disclosed, would reveal:*
 - (ii) *information that has a commercial value to a person.*
- (f) *a matter that if disclosed, could be reasonably expected to:*
 - (i) *impair the effectiveness of any lawful method or procedure for preventing, detecting, investigating or dealing with any contravention or possible contravention of the law.*

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

The Director Planning and Community Development, the Director Corporate Services, the Director Infrastructure Services, the Director Governance and Strategy, and the Governance Officers left the Room at 7.35pm.

OFFICER'S RECOMMENDATION MOVED Cr Raftis, SECONDED Cr Hutton that the Council NOTES the findings of an independent review of the City project to implement an Enterprise Business Platform.

The Motion was Put and

CARRIED (7/0)

In favour of the Motion: Cr Raftis, Cr Hutton, Cr Kingston, Cr O'Neill, Cr Pizzey, Cr Vinciullo and Mr Hall.
Against the Motion: Nil.

8.12 CONFIDENTIAL - ALLEGATIONS OF MISCONDUCT (WARD - ALL)

WARD	All
RESPONSIBLE DIRECTOR	Mr James Pearson Chief Executive Officer
FILE NUMBER	105279
AUTHORITY / DISCRETION	Information – includes items provided to Council for information purposes only that do not require a decision of Council (that is for 'noting').

This report is confidential in accordance with s5.23(2) of the *Local Government Act 1995*, which permits the meeting to be closed to the public for business relating to the following:

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

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

The Manager Governance left the Room at 7.57pm.

OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Vinciullo that the Audit and Risk Committee NOTES the allegations of misconduct since the last report on this issue to the Audit and Risk Committee on 11 March 2024.

The Motion was Put and

CARRIED (7/0)

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

Against the Motion: Nil.

9 URGENT BUSINESS

Nil.

10 MOTIONS OF WHICH PREVIOUS NOTICE HAS BEEN GIVEN

Nil.

11 REQUESTS FOR REPORTS FOR FUTURE CONSIDERATION

Cr O'Neill requested the following reports:

- 1 That the Chief Executive Officer prepare a report on travel arrangement processes and systems to allow for streamlining of savings.
- 2 That the Chief Executive Officer prepare a report on the Facebook media analysis and cost benefits.

Cr Kingston requested the following reports:

- 1 That the Chief Executive Officer prepare a report on customer requests showing themes and common issues.
- 2 That the Chief Executive Officer prepare a report on the Council meeting held on 10 December 2024 in accordance with section 4.2 (zero-tolerance approach) of the *Fraud, Corruption and Misconduct Control Council Policy* and section H of the Audit and Risk Committee's terms of reference.

Cr Raftis requested the following reports:

- 1 That the Chief Executive Officer prepare a report for the Audit and Risk Committee on listing an annual internal audit of the calculations and supporting details relating to the average hourly operating costs utilised in the adopted charges under the *Venue Hire Fees and Charges Council Policy*.
- 2 That the Chief Executive Officer prepare a report for the Audit and Risk Committee on the performance of obligations and compliance of the lessor and lessee for the current lease for the Duncraig Leisure Centre. The report should include, but not be limited to the following:
 - A detailed analysis and review of the rent payable for each year, including confirmation of payment.
 - Details of any capital works required to be undertaken at the expense of the City.
 - Details of inspections conducted by the City to view and examine the state of repair etc under clause 3.6 of the lease including any remedial works required.

-
- Details of the cost of maintaining the carparks on the immediate exterior of the Duncraig Leisure Centre.
 - Details of how clause 3.14 of the lease is complied with.
 - Confirmations provided by the lessee of insurance policies in place over the term of the lease.
 - Details of any confirmations or approvals for alterations and improvements provided by the City under clause 3.21.
 - Details as to the compliance of the lessee with clause 3.24 given the use of space by external parties such as the Australian Electoral Commission and Armstrong Basketball.
 - Details as to the compliance of the lessee with clause 3.25 given the signage on the external wall for Armstrong Basketball.
 - Details of the lessee's compliance with Item 7 of the Schedule, including the submissions provided by the Lessee to the Lessor on an annual basis regarding the Hire Fee Schedule charged to clubs and users of the Premises.
 - Details of the lessor's responses to the annual review of the hire fees and charges under Schedule 7 and supporting details of the reviews performed to ensure the Lessee's compliance to rates charged for similar facilities in the Perth Metropolitan area.
 - Details of the any reviews conducted by the City as to where the prior users of the Duncraig Leisure Centre relocated their activities due to the impacts of the Lease that was executed.

12 CLOSURE

There being no further business, the Presiding Member declared the meeting closed at 8.21pm the following Committee Members being present at that time:

CR JOHN RAFTIS
CR LEWIS HUTTON
CR DANIEL KINGSTON
CR ROHAN O'NEILL
CR REBECCA PIZZEY
CR PHILLIP VINCIULLO
MR MARK HALL

19 MAY 2025 - AUDIT AND RISK COMMITTEE ATTACHMENTS

8.1 2025 CORPORATE COMPLIANCE CALENDAR (WARD – ALL).....2

8.1.1 2025 CORPORATE COMPLIANCE CALENDAR.....2

8.8 STATUS UPDATE - OFFICE OF THE AUDITOR GENERAL PERFORMANCE

AUDIT INTO STAFF EXIT CONTROLS (WARD - ALL).....28

8.8.1 OFFICE OF AUDITOR GENERAL REPORT 25 - 2023-24 (28 JUNE 2024)...28



2025 Corporate Compliance Calendar

Last Reviewed: January 2025

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Officer Responsible	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
	January - Take Action											
Jan	Official Conduct Complaints Officer - 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	N/A	N/A	CEO is the Complaints Officer	Complete
Jan	Record of information about conduct The CEO must maintain a record of information about behavioural breaches, recurrent breaches, conduct breaches, specified breaches and orders made.	Local Government Act 1995	s5.96C		As required	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services	Ongoing	Container: 08166	Updated register published to website when required	Complete
Jan	Compliance Audit Return - Commence Audit Commence the Compliance Audit Return as an internal audit. Due: 31 March	Local Government Act 1995	s.7.13(1)(i) Audit.Regs. 13, 14 and 15		Annual	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services	In progress	In progress	To be reported to Audit and Risk Committee on 24 February; then onto Council on 25 March	In Progress
Jan	Monthly Financial Report 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			January 2025 report to be presented at the March 2025 council meeting.	In Progress
Jan	Payments from municipal fund or trust fund 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			January 2025 report to be presented at the March 2025 council meeting.	In Progress
Jan	Payment by employees via purchasing cards 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			January 2025 report to be presented at the March 2025 council meeting.	In Progress
Jan	Chlorine Gas Safety Audit 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	26/05/2021	INT21/22938	5 yearly, next due 2026. Licence number DGS015339. Date of Issue 26/05/2021.	Complete
Jan	Master Compliance Calendar - Review 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	6/02/2025	INT25/3077	Revised 2025 Corporate Compliance Calendar presented to ELT for endorsement on 6 February 2025.	Complete
Jan	Public Access to Information - Audit 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	7/01/2025	INT25/441		Complete
Jan	Gifts Register - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance	2/01/2025	INT25/153 INT25/152		Complete
Jan	Financial Interests Register - Review 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	31/01/2025%	INT17/61358		Complete
Jan	Code of Conduct for Employees 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 Next Due: 2025	Governance and Strategy	Governance	Manager Governance				In Progress

2025 Corporate Compliance Calendar

Last Reviewed: January 2025

	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	Agreement for WAEC to conduct the Election Report to Council. Due: 1 August	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: 2025	Governance and Strategy	Governance	Manager Governance	4/02/2025	EIN25/1335	Written Costs Agreement received from WAEC 04/02/2025. Report to be presented to Council in March 2025.	In Progress
Jan	Primary Returns - New Elected Members - required to be lodged with CEO within 3 months of making Declarations of Office Due by: 18 Jan 2026	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 2026	Governance and Strategy	Governance	Manager Governance				Not Applicable
Jan	Authorised Persons - Review Review the LG's authorised persons to ensure authorisations are accurate, valid and the correct certificates of authorisation and / or identity cards have been issued	Various		WALGA - Governance Subscription - Decision Making in Practice Toolkit - Part 3 Authorisations	Annual	Governance and Strategy	Governance	Manager Governance			Ongoing activity	In Progress
Jan	Legal Deposit Deposit digital copies of Annual Report to the State Library of WA and National Library of Australia within 30 days of its publication.	Legal Deposit Act 2012 & Legal Deposit Regulations 2013	s8 & Reg 5		Annual	Governance and Strategy	Governance	Manager Strategic & Organisational Development	23/01/2025		2 x e-copies of the Annual Report sent electronically to the State Library of WA and National Library.	Complete
Jan	Occupational Safety and Health - 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	30/01/2025		ongoign requirement, updated strategic safety management plan re sent to CEO for approval	In Progress
Jan	MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants - Submit quarterly report	MRWA State Road Funds to Local Government Procedures			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services	13/12/2024	EMO25/9605		Complete
Jan	ABS - Submit quarterly construction report to Australian Bureau of Statistics.				Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services	N/A	Submitted online via ABS portal		Complete
Jan	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	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services			Ongoing - no claims submitted in January	In Progress
Jan	Roads to Recovery - Online submission expenditure report and forecast for the next quarter	Roads to Recovery Act 2000 (Cith)			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services	N/A	Submitted online via R2R portal		Complete
Jan	Report on DWER Site Licence for the WOC - 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 Due: end of January	Infrastructure Services	Waste Services	Manager Waste Services	15/01/2025	INT25/2274	Annual report submitted to DWER.	Complete
Jan	Impounded Vehicles - 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		New impounding vehicle process and system implemented July 2024. On review of system, various inefficiencies and system faults identified. Faults to be rectified by 31 March 2025 to rectify non-compliance.		In Progress

Complete
In Progress
Behind Schedule
Not Applicable

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency			Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
	February - Take Action											
Feb	Monthly Financial Report LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services	25/02/2024	MIN25/85 (Item 12.15 and 12.16)	Nov 2024 and Dec 2024 report presented at the Feb 2025 OCM	Complete
Feb	Payments from municipal fund or trust fund 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	25/02/2024	MIN25/85 (Item 12.13 and 12.14)	Nov 2024 and Dec 2024 report presented at the Feb 2025 OCM	Complete
Feb	Payment by employees via purchasing cards 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	25/02/2024	MIN25/85 (Item 12.17 and 12.18)	Nov 2024 and Dec 2024 report presented at the Feb 2025 OCM	Complete
Feb	Annual Electors' General Meeting - Local Public Notice 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	19/12/2024		AGM advertised in the PerthNow, City website, Social Media and eNewsletter.	Complete
Feb	Gifts Register - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance	11/02/2025	INT25/4901 INT25-4900		Complete
Feb	Local Laws Review - Within a period of 15 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. Last Reviewed: 16/02/2021	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 Next Due: 2036	Governance and Strategy	Governance	Manager Governance				Not Applicable
Feb	Ward Boundary Review last completed on 16 November 2021 (CJ156-11/21 refers). Last Reviewed: 16/11/2021 Next due by: 27/02/2029	Local Government Act 1995	s.2.2 Sch.2.2(6)		8-yearly Next Due: 2029	Governance and Strategy	Governance	Manager Governance				Not Applicable
Feb	Local Emergency Management Committee - Hold committee meeting quarterly in accordance with the Act	Emergency Management Act 2005	s. 38		Quarterly	Infrastructure Services	Asset Management	Manager Asset Management	11/02/2025	EIN25/402	Meeting held 11 February 2025 - minutes to be finalised	Complete
Feb	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	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services			Ongoing - 10 claims bieng prepared in February	In Progress
Feb	Caravan Park / Camping Ground Facility Annual Inspection 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	20/06/2024	PRP24/18638 INW24/6622		Complete

Complete
In Progress
Behind Schedule
Not Applicable

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
	March - Take Action											
Mar	Compliance Audit Return - Report to Audit Committee Compliance Audit Return, report considered by Audit Committee, with recommendations to Council. Note - Schedule Committee / Council consideration with sufficient time to enable submission to DLGSCI by 31 March	Local Government Act 1995	s.7.13(1)(i) Audit.Regs. 13, 14 and 15		Annual Due: 31 March	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services	25/02/2025	MIN25/134		Complete
Mar	Rates and Revenue Policy A local government must prepare and adopt a policy setting out information about the local government's projected revenue from rates and other sources of projected revenue. An up-to-date version of the rates and revenue policy must be published on the local government's official website.	Local Government Act 1995	s5.56AA	This section comes into effect on a date to be determined in accordance with the Local Government Regulations Amendment Regulations 2024.	Annual Due: Before 1 March	Corporate Services	Financial Services	Manager Financial Services			Presented to ELT 18 December 2024. Included in Budget 2025-26 workshop 1 presentation 18 February 2025.	In Progress
Mar	Monthly Financial Report 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	13/03/2025	MIN25/134 (Item 12.10)	Report for January 2025 to March 2025 Council meeting.	Complete
Mar	Payments from municipal fund or trust fund 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	13/03/2025	MIN25/134 (Item 12.9)	Report for January 2025 to March 2025 Council meeting.	Complete
Mar	Payment by employees via purchasing cards 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	13/03/2025	MIN25/134 (Item 12.11)	Report for January 2025 to March 2025 Council meeting.	Complete
Mar	Emergency Services Levy - Option B Payment Due by: 21 March 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	19/03/2025	EF127427 payment reference	Date of EFT payment - payment included in list of payments report to May 2025 Council meeting.	Complete
Mar	Annual Budget - Review Between 1 January and 31 March in each financial year, a review of the annual budget is to be carried out. • Review must be submitted to Council within 30 days after it has been carried out. • Council is to consider the review and determine, by absolute majority, whether or not to adopt the review, any parts of the review or any recommendations made in the review DUE: 31 March	Local Government Act 1995	FM Reg.33A(1) (2A) (2) (3)	DLGSC website - WA Local Government Accounting Manual	Annual Due: 31 March	Corporate Services	Financial Services	Manager Financial Services	25/02/2025	MIN25/85 (Item 12.21)	The mid-year review adopted by the council at the OCM held on 25 Feb 2025.	Complete
Mar	Certification of compliance with adopted standards for renewal of CEO's contract of employment As soon as practicable after the CEO's contract is renewed, the local government must, by resolution, certify that the renewal was in accordance with the local government's adopted standards in relation to the recruitment of CEO's.	Local Government Act 1995	s5.39B(7)	This section comes into effect on a date to be determined in accordance with the Local Government Regulations Amendment Regulations 2024.	As required	Governance and Strategy	Governance	Manager Governance		N/A	N/A	Not Applicable
Mar	Certification of compliance with adopted standards for renewal of CEO's contract of employment The local government must give a copy of the resolution to the Departmental CEO within 14 days after the resolution is passed by the local government.	Local Government Act 1995	s5.39B(7)	This section comes into effect on a date to be determined in accordance with the Local Government Regulations Amendment Regulations 2024.	As required	Governance and Strategy	Governance	Manager Governance		N/A	N/A	Not Applicable
Mar	Financial Interests Register - Review 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	31/03/2025	INT17/61358		Complete
Mar	Elected Members - 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	1/04/2025	INT24/46749	EM Council Meeting Attendance Register review. All Elected Members compliant with the requirements of s2.25 of the LGA	Complete
Mar	Gifts Register - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r26A		Monthly	Governance and Strategy	Governance	Manager Governance				

Mar	Annual Electors' General Meeting - 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	23/01/2025		AGM held on Thursday 23 January 2025.	Complete
Mar	Corporate Business Plan - Review (Administrative) 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 Next Due: March/April 2024	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				
Mar	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	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services	4/03/2025	EMO25/14409	The last of the MRRG projects are scheduled to be completed in May 2025, after which final claims will be submitted prior to the end of financial year.	In Progress
Mar	Water Licences - Artesian and Non-artesian Water Licences - review and renew if necessary	Rights in Water and Irrigation Act 1914	s. 26 (d)		Annual	Infrastructure Services	Parks and Natural Environment	Manager Parks and Natural Environment				
Mar	WALGSC Road Information Return - Submit WALGA Road Information Return Certification Sheet				Annual	Infrastructure Services	Asset Management	Manager Asset Management			This is a normally a 4 yearly request for information (last received February 2023) and a request has not been received as of 08 April 2025.	Complete
Mar	Fines Enforcement - Designated Prosecuting Officers 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			Community Safety have undertaken the annual review and updated the prosecuting officers schedule in writing with the Department of Justice - Fines Enforcement Registry.	Complete

Complete
In Progress
Behind Schedule
Not Applicable

	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
	April - Take Action											
Apr	Audit - Compliance Audit Return Action Plan 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	N/A	N/A	N/A	Not Applicable
Apr	Monthly Financial Report 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	29/04/2025	MIN25/184 (Item 12.11)	Report for February 2025 to April 2025 Council meeting.	Complete
Apr	Payments from municipal fund or trust fund 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	29/04/2025	MIN25/184 (Item 12.10)	Report for February 2025 to April 2025 Council meeting.	Complete
Apr	Payment by employees via purchasing cards 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	29/04/2025	MIN25/184 (Item 12.12)	Report for February 2025 to April 2025 Council meeting.	Complete
Apr	Annual Budget - Copy of Review to DLGSCI Executive Director within 30 days 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	7/03/2025	EMO25/15351 and EIN25/2474	Email sent to DLGSCI on 7 March 2025	Complete
Apr	Annual Budget - Fees and Charges - Review 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			The draft schedule of fees and charges has been completed by all managers which will be circulated to all the Elected Members ahead of the workshop in May 2025.	Complete
Apr	Gifts Register - 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	2/05/2025	INT25/15903 & INT25/15922	The Employee Gift Register and the Elected Members and CEO Gift Register have been updated to the 30/04/2025 on the City's website.	Complete
Apr	Annual Elector's General Meeting - Minutes / Responses to next Ordinary Council Meeting , 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	25/03/2025	MIN25/139	The Minutes of the Annual General Meeting of Electors held on 23 January 2025 were presented to Council at the meeting held on 25 March 2025 for consideration.	Complete
Apr	Elections - Enrolment Eligibility Claims (Owners and Occupiers) Register - 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	23/04/2025	EMI25/2786	Rating Services have done a review of the Owners and Occupier's roll identifying no expiring electors for 2025.	Complete
Apr	Elections - Create Election Timeline	Local Government Act 1995	Part 4		Biennial Next Due: 2025	Governance and Strategy	Governance	Manager Governance	2/01/2025	INT25/60 & INT25/62	The City's Election tasks and deliverables have been developed and align to the Department of Local Government, Sport and Cultural Industries Election Timetable for the Local Government Elections for 2025.	Complete
Apr	Electoral Gifts - 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	4/04/2025	INT25/12489	The CEO has corresponded via email to Elected Members whose term will be expiring advising them of their requirement in relation to the declaration of gifts during the electoral period.	Complete

Apr	Corporate Business Plan - Review (Council Workshop) 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	18-Mar-25	EMO25/20681	Workshop held with Elected Members on 18 March 2025	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	23/04/2025	Submitted 23 April 2025 - STORED TO CONTENT MANAGER REF 11827 EIN25/4196 DOCUMENT NUMBER OUT25/3559	submitted by Audit and Risk as per new process	Complete
Apr	ABS - Submit quarterly construction report to Australian Bureau of Statistics				Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services	8/04/2025	Submitted online via ABS portal		Complete
Apr	MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants - Submit quarterly report	MRWA State Road Funds to Local Government Procedures			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services		EMO25/27667		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	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services			The last of the MRRG projects are scheduled to be completed in May 2025, after which final claims will be submitted prior to the end of financial year.	In Progress
Apr	Roads to Recovery - Online submission expenditure report and forecast for the next quarter	Roads to Recovery Act 2000 (Cith)			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services	24/04/2025	Submitted online via Dept of Infrastructure portal		Complete
Apr	Metropolitan Regional Road Group (MRRG) 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	28/04/2025	EMO25/27746		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			Report on review of Local Planning Scheme No.3 presented to Policy Committee in April, and will be presented to Council in May.	In Progress

Complete
In Progress
Behind Schedule
Not Applicable

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
	May - Take Action											
May	Monthly Financial Report LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
May	Payments from municipal fund or trust fund LG is to prepare a list of accounts for approval to be paid is to be prepared each month and presented to the council at the next ordinary meeting of the council after the list is prepared.	Local Government Act 1995	FM Reg 13		Monthly	Corporate Services	Financial Services	Manager Financial Services				
May	Payment by employees via purchasing cards LG is to prepare a list of payments made using credit, debit or other purchasing cards, and present to the council at the next ordinary meeting of council after the list is prepared.	Local Government Act 1995	FM Reg 13A		Monthly	Corporate Services	Financial Services	Manager Financial Services				
May	Rates - Notice advising intention to impose differential general rates or a minimum payment applying to a differential rate category	Local Government Act 1995	s. 6.36		Annual	Corporate Services	Financial Services	Manager Financial Services				
May	Annual Budget - Differential Rates and Minimum Payment Setting - Council Report Council Report required recommending Council to endorse the proposed Differential Rates and minimum payments for the purpose of giving Local Public Notice and calling for submissions. This report and Council decision must occur with sufficient time to enable compliance with the Local Public Notice requirements and 21 day public submission period - s.6.36 before Council resolves to impose the differential rates as part of the Annual Budget. • Notice must be published within the period 2 months before the commencement of the financial year	Local Government Act 1995	s.6.33 s.6.35 s.6.36 FM.Reg.52A	DLGSC WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
May	Annual Budget - Differential Rates and Minimum Payment Setting - Local Public Notices After the Council endorsement for advertising proposed Differential Rates and minimum payments, Local Public Notice must be published with sufficient time to comply with: • Notice must be published within the period 2 months before the commencement of the financial year • Notice must contain details of each rate or minimum payment. • Notice must invite public submissions within 21 days (or longer) of the notice • Notice must advise where public can inspect a document describing the object of, and reasons for, each proposed rate and minimum payment.	Local Government Act 1995	s.6.33 s.6.35 s.6.36 FM.Reg.52A	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
May	Dangerous Goods Site Licence 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	Financial Interests Register - Review 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	Gifts Register - 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	Delegation Register Review - 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, 5.45, 5.46 s.7.1B	WALGA website - Decision Making in Practice Toolkit Part 2 Delegations WALGA website - Webinar - Decision Making in Practice - Delegations DLGSC website - Operational Guideline No.17 Delegations	Annual	Governance and Strategy	Governance	Manager Governance				
May	Local Emergency Management Committee - Hold committee meeting quarterly in accordance with the Act	Emergency Management Act 2005	s. 38		Quarterly	Infrastructure Services	Asset Management	Manager Asset Management				

May	Metropolitan Regional Road Group Funding - Submit Road Improvement Grant Submission to Main Roads				Annual	Infrastructure Services	Engineering Services	Manager Engineering Services				
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	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				

Complete
In Progress
Behind Schedule
Not Applicable

	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	Monthly Financial Report LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Jun	Payments from municipal fund or trust fund 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	Payment by employees via purchasing cards 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	Emergency Services Levy - Option B Payment Due by: 21 June and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures		DFES -ESL Manual of Operating Procedures	Quarterly	Corporate Services	Financial Services	Manager Financial Services				
Jun	Financial Reporting - Material Variances Each Financial Year, a LG is to adopt a percentage or value, calculated in accordance with AAS, to be used in statements of financial activity for reporting material variances. (adopt and apply in the following Financial Year)	Local Government Act 1995	s.6.4 FM.Reg.34(5)		Annual	Corporate Services	Financial Services	Manager Financial Services				
Jun	Annual Budget - Fees and Charges Schedule 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 must be included in the Annual Budget and Annual Budget Report, with a separate recommendation for Council to impose the Schedule of Fees and Charges, by absolute majority, as part of the Annual Budget adoption.	Local Government Act 1995	s.6.16 s.6.17 s.6.18	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Jun	Annual Budget - Rate Setting Statement In preparation for the Annual Budget, a preliminary Council report may 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 must be included in the Annual Budget Adoption Report, with a separate recommendation for Council to impose, by absolute majority: • the general rate (uniformly or differentially) • a specified area rate • minimum payment, • service charges • impose a discount	Local Government Act 1995	s.6.32 s.6.35 s.6.36(4) s.6.37 s.6.38 s.6.46 FM.Regs. r.22(1)(d) (2) r.26 r.33(1)(c) r.52	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Jun	Annual Budget - Borrowings - Changes or New In preparation for the Annual Budget, the preliminary Council report may 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 must be included in the Annual Budget and Annual Budget report, with a separate recommendation for Council to resolve, to expend the money or utilise the loan.	Local Government Act 1995	s.6.20 s.6.21	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				

Jun	Annual Budget - Setting Elected Member Fees, Payments and Reimbursements 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	Salaries and Allowances Tribunal website - Determination for Local Government	Annual	Corporate Services	Financial Services	Manager Financial Services				
Jun	Annual Budget - Reserve Accounts - Changes or New 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	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Jun	Annual Budget - Setting Interest Rate for Money Owed 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 35 days . 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	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Jun	Annual Budget - Adoption During period 1 June to 31 August , 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	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Jun	Native vegetation clearing permits Annual reporting against clearing permit conditions.	Environmental Protection Act 1986	Environmental Protection (Clearing of Native Vegetation Regulations 2004)	Department of Water and Environmental Regulation requirement to report against clearing permit conditions	Annual	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				
Jun	Gifts Register - 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	Elected Members - 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	FOI Annual Statistical Data - Response to Information Commissioner Due by: 30 June	Freedom of Information Act 1992	s.111(3)		Annual Due: 30 June	Governance and Strategy	Governance	Manager Governance				
Jun	Delegation Register Review - Delegations are to be reviewed by the delegator (Council) at least once every financial year Last Reviewed: 27/06/2023 Next Due: June 2024	Local Government Act 1995	s.5.16, 5.17, 5.18 s.5.42, 5.43, 5.44, 5.45, 5.46 s.7.1B	WALGA website - Decision Making in Practice Toolkit Part 2 Delegations WALGA website - Webinar - Decision Making in Practice - Delegations DLGSC website - Operational Guideline No.17 Delegations	Annual	Governance and Strategy	Governance	Manager Governance				
Jun	Workforce Plan - Review 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	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual	Governance and Strategy	Human Resource Services	Manager Human Resource Services			Price Consulting appointed to conduct SWP March 2025 - schedule for completion may change due to issues contacting references JV 11/03/2025 schedule will be updated if required	
Jun	Strategic Community Plan - Review Review completed after community consultation, and adopted by Council, by absolute majority, at least once every 4 years Last reviewed (CJ093-06/22): 28 June 2022 Next Due by: 30 June 2026	Local Government Act 1995	s.5.56 Admin.Reg.19C	DLGSCI website - Integrated Planning and Reporting Framework and Guidelines	4-yearly major review Next Due: 2026	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				
Jun	Strategic Community Plan - Review - Local Public Notice After adoption of the revised Strategic Community Plan, LG is to give Local Public Notice that the Plan has been adopted, the period that the Plan is to apply and details of where and when the Plan may be inspected	Local Government Act 1995	s.5.56 Admin.Reg.19D	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	4-yearly Next Due: 2026	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				
Jun	Strategic Community Plan Review - Website Publish the revised Strategic Community Plan on the LG's website	Local Government Act 1995	s.5.94(f)	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	4-yearly Next Due: 2026	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				
Jun	Corporate Business Plan - Review (Council Adoption) Due by: 30 June Council to adopt by absolute majority. Amended Corporate Business Plan informs the preparation of the budget.	Local Government Act 1995	s.5.56 Admin.Reg.19DA	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				

Jun	Appoint Bush Fire Control Officers - Review appointments and update if necessary	Bush Fires Act 1954	s.38		Annual	Infrastructure Services	Community Safety	Manager Community Safety				
Jun	Revaluation of Assets - Land, Buildings and Infrastructure 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	Local Emergency Management - Full review of local emergency management arrangements for the City to be conducted every five years Last reviewed: 2022/23 Next Due: 2027/28	Emergency Management Act 2005	s. 42		5-yearly Next Due: 2027	Infrastructure Services	Asset Management	Manager Asset Management				
Jun	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	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				
Jun	Public Thoroughfares - 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	Subdivisions - 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
	July - Take Action											
Jul	Register of Grants and Sponsorship The CEO must keep a register of grants and sponsorship containing the information in Regulation 29G(3) of the Admin Regs. The register must be made publicly available on the City's website, and must be up-to-date as at the beginning of 1 July 2025.	Local Government (Admin) Regs 1996	29G	This section comes into effect on 1 July 2025 in accordance with the Local Government Regulations Amendments Regulations 2024.	Quarterly							
Jul	Audit, risk and improvement committee The local government must appoint a Presiding and Deputy Presiding Member of the audit, risk and improvement committee. The Presiding and Deputy Presiding Member cannot be a council member of the local government or of any other local government	Local Government Act 1995	s7.1A	This section comes into effect on a date to be determined in accordance with the Local Government Regulations Amendment Regulations 2024.	Bi-Annual	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
Jul	Risk Management - Review 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): 19/09/2023 Due during 2025/26 for 2024/25 financial year	Local Government Act 1995	Audit.Reg. 17(1)(a)	AS ISO 31000:2018 Risk Management - Guidelines	Triennial Next Due: 2025/26 (for 2024/25)	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
Jul	Internal Control - Review 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): 19/09/2023 Due during 2025/26 for 2024/25 financial year	Local Government Act 1995	Audit.Reg. 17(1)(b)	DLGSC website - WA Local Government Accounting Manual	Triennial Next Due: 2025/26 (for 2024/25)	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
Jul	Legislative Compliance - Review 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): 19/09/2023 Due during 2025/26 for 2024/25 financial year	Local Government Act 1995	Audit.Reg. 17(1)(c)	AS 3806-2006 Compliance Programs	Triennial Next Due: 2025/26 (for 2024/25)	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
Jul	Financial Management Systems and Procedures Review 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): 19/09/2023 Due during 2025/26 for 2024/25 financial year	Local Government Act 1995	FM.Reg.5	DLGSC website - WA Local Government Accounting Manual	Triennial Next Due: 2025/26 (for 2024/25)	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
Jul	Public Interests Disclosures - Provide Annual Report to Commissioner for Public Interests Disclosures by 31 July each year	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	Register of Contracts for Goods and Services The CEO must keep a register of goods and services containing the information in Regulation 29I(3) of the Admin Regs. The register must be made publicly available on the City's website, and must be up-to-date as at the beginning of 1 July 2025.	Local Government (Admin) Regs 1996	29I	This section comes into effect on 1 July 2025 in accordance with the Local Government Regulations Amendments Regulations 2024.	Quarterly	Corporate Services	Financial Services	Manager Financial Services				
Jul	Monthly Financial Report 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	Payments from municipal fund or trust fund 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	Payment by employees via purchasing cards 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	Emergency Services Levy - End of Year Reconciliation Report Due by: 31 July Schedule 6 Form C	DFES - ESL Manual of Operating Procedures	Clause. 5.13.4	DFES - ESL Manual of Operating Procedures	Annual Due: 31 July	Corporate Services	Financial Services	Manager Financial Services				
Jul	Annual Budget - Copy of Annual Budget as adopted to DLGSCI Executive Director within 14 days 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	Annual Budget - Website 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	Establishment of audit, risk and improvement committee A local government must establish a committee of its council under section 5.8 to be called the audit, risk and improvement committee.	Local Government Act 1995	s7.1A		Bi-Annual	Governance and Strategy	Governance	Manager Governance				
Jul	Publication of information relating to CEO's performance The CEO's performance criteria must be published on the local government's official website alongside the minutes of the meeting at which the CEO's contract of employment is approved.	Local Government Act 1995	s5.39AA(1)(a)	This section comes into effect on 1 July 2025 in accordance with the Local Government Regulations Amendments Regulations 2024.	Annual	Governance and Strategy	Governance	Manager Governance				
Jul	Publication of information relating to CEO's performance Copies of the statements referred to in s5.39AA(1)(b) and (c) must be published on the local government's official website alongside the minutes of the meeting at which the CEO's performance review is conducted.	Local Government Act 1995	s5.39AA(1)(b) and ©	This section comes into effect on 1 July 2025 in accordance with the Local Government Regulations Amendments Regulations 2024.	Annual	Governance and Strategy	Governance	Manager Governance				
Jul	Presiding and Deputy Presiding Members of Committees The local government must appoint a member of a committee to be the presiding member of the committee. The local government may appoint a member of a committee to be the deputy presiding member of the committee.	Local Government Act 1995	s5.12(1) and (2)	This section comes into effect on 1 July 2025 in accordance with the Local Government Regulations Amendments Regulations 2024.	Bi-Annual	Governance and Strategy	Governance	Manager Governance				
Jul	Financial Interests Register - Review 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				
Jul	Gifts Register - 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	Report on Elected Member Training Due by: 31 July LG must prepare a report on the training completed by Council members in the previous financial year. CEO must publish the report on the LG's website within one month of the end of the financial year.	Local Government Act 1995	s.5.127		Annual Due: 31 July	Governance and Strategy	Governance	Manager Governance				
Jul	Register of Fees and Allowances Paid to Elected Members Due by: 14 July Establish register of Elected Member fees, expenses and allowances paid and publish on the website by no later than 14 July.	Local Government (Admin) Regs 1996	29C(2)(f)		Annual Due: 14 July	Governance and Strategy	Governance	Manager Governance				
Jul	Annual Returns - Request Elected Members and Designated Employees to provide an Annual Return by no later than 31 August CEO's Annual Return must be lodged with the President / Mayor	Local Government Act 1995	s.5.76(1)	DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Annual	Governance and Strategy	Governance	Manager Governance				
Jul	Code of Conduct for Council Members, Committee Members and Candidates A biennial review of the Code of Conduct to ensure ongoing applicability of the stated principles and standards of behaviour.	Local Government Act 1995	5.104	WALGA - Model Code of Conduct for Council Members, Committee Members and Candidates	Biennial Next due 2023	Governance and Strategy	Governance	Manager Governance				
Jul	Record Keeping Plan - Review The LG's Record Keeping Plan must be reviewed within 5 years of its approval by the Commission Last completed: 6 July 2021 Due by: 6 July 2026	State Records Act 2000 Local Government Act 1995	s.28(5) s.5.41(h)	State Records Office website - Record Keeping Plan Templates and Guidelines	5-yearly Next Due: July 2026	Governance and Strategy	Governance	Manager Governance				
Jul	Employees - 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	Register of Leases The CEO must keep a register of leases containing the information in Regulation 29F(3) of the Admin Regs. The register must be made publicly available on the City's website, and must be up-to-date as at the beginning of 1 July 2025.	Local Government (Admin) Regs 1996	29F	This section comes into effect on 1 July 2025 in accordance with the Local Government Regulations Amendments Regulations 2024.	Quarterly	Infrastructure Services	Asset Management	Manager Asset Management				
Jul	Leases - 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	Water Licences - 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	ABS - Submit quarterly construction report to Australian Bureau of Statistics				Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				
Jul	Main Roads Direct Grants - 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	MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants - Submit quarterly report	MRWA State Road Funds to Local Government Procedures			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				
Jul	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	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				
Jul	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				
Jul	Blackspot - 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	Roads to Recovery - Submit Projects for current financial year	Roads to Recovery Act 2000 (Clth)			Annual	Infrastructure Services	Engineering Services	Manager Engineering Services				
Jul	Register of Development contributions The CEO must keep a register of development contributions containing the information in Regulation 29H(3) of the Admin Regs. The register must be made publicly available on the City's website, and must be up-to-date as at the beginning of 1 July 2025.	Local Government (Admin) Regs 1996	29H	This section comes into effect on 1 July 2025 in accordance with the Local Government Regulations Amendments Regulations 2024.	Quarterly	Planning and Community Development	Planning Services	Manager Planning Services				

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	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Directorate	Business Unit	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance	Status
	August - Take Action											
Aug	Monthly Financial Report 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	Payments from municipal fund or trust fund 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	Payment by employees via purchasing cards 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	Annual Budget - During period 1 June to 31 August , 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 Due by: 31 August	Corporate Services	Financial Services	Manager Financial Services				
Aug	Elections - Statewide Public Notice Enrolment Eligibility Claims - CEO to give notice of the closing date and time for elector enrolments. (to be given 70th to 56th days)	Local Government Act 1995	s.4.39(2)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Aug	Elections - CEO to advise Electoral Commissioner of the need to prepare an updated residents roll Due by 56th day before Election Day	Local Government Act 1995	s.4.40(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Aug	Elections - Statewide Public Notice Call for Nominations - from 56 days and no later than 45th day before Election Day.	Local Government Act 1995	s.4.47(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Aug	Elections - Close of Rolls at 5pm on 50th day before Election Day. Enrolment eligibility claims received by 5pm can continue to be processed with a decision on eligibility required for inclusion in the Owners and Occupiers Roll, as appropriate before it is certified by the CEO on the 36th day before Election Day [refer s.4.4(1)]	Local Government Act 1995	s.4.39(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Aug	Annual Returns - Elected Members and Designated Employees to provide an Annual Return by no later than 31 August CEO's Annual Return must be lodged with the President / Mayor.	Local Government Act 1995	s.5.76(1)	DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Aug	Inspector must be notified of failure to lodge returns The CEO must notify the Inspector if a relevant person does not lodge a Primary or Annual Return OT the CEO believes that a Primary or Annual Return contains errors or omissions.	Local Government Act 1995	s5.87AA		As required	Governance and Strategy	Governance	Manager Governance				
Aug	Gifts Register - 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	Dangerous Goods - 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	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	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				
Aug	Private Swimming Pool Inspection 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 Due by: 1 August	Planning and Community Development	Regulatory Services	Manager Regulatory Services				
Aug	Food Act and Public Health Act reporting - 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 31 August .	Food Act 2008 Public Health Act 2016	s.121(1) s.22(1)	Department of Health website - Reporting requirements pages	Annual Due by: 31 August	Planning and Community Development	Regulatory Services	Manager Regulatory Services				
Aug	Disability Access and Inclusion Plan - Reporting 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
	September - Take Action											
Sep	Monthly Financial Report 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				
Sep	Payments from municipal fund or trust fund 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	Payment by employees via purchasing cards 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	Emergency Services Levy - Option B Payment Due by: 21 of the month 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				
Sep	Annual Financial Report - Last day to be submitted to Auditor Due 30 September	Local Government Act 1995	s. 6.4(3)		Annual	Corporate Services	Financial Services	Manager Financial Services				
Sep	Annual Financial Report - Prepare and submit to the Auditor. Content of Annual Report to comply with FM.Reg.36(2). Due: 30/09/2024	Local Government Act 1995	s.6.4 FM.Reg.36	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Sep	Waterwise Aquatic Centre Program Annual re-endorsement report to manage water efficiency and use.	Best practice.	N/A	Water Corporation Program	Annual	Corporate Services	Leisure and Cultural Services	Manager Leisure and Cultural Services				
Sep	Financial Interests Register - Review 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				
Sep	Elected Members - 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	Gifts Register - 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	Elections - Nominations Open -(44th day before Election Day) First day for candidates to lodge completed nomination papers with the returning officer. Nominations are open for eight days	Local Government Act 1995	s.4.49(a)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Sep	Elections - Nominations Close at 4pm on (37th day before Election Day)	Local Government Act 1995	s.4.49(a)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Sep	Elections - Candidate / Donor Gift Disclosures - 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	Elections - Residents Roll to be prepared by Electoral Commissioner and forwarded to CEO - Due by 36th day before Election Day	Local Government Act 1995	s.4.40(2)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Sep	Elections - Owners and Occupiers Roll to be prepared and certified by CEO Due by 36th day before Election Day	Local Government Act 1995	s.4.41(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Sep	Elections - Statewide Public Notice of Election Day by Returning Officer - between 36th and 19th day before Election Day	Local Government Act 1995	s.4.64(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Sep	Elections - Consolidated Roll (Resident / Owners and Occupiers) at Returning Officer's discretion, to be completed by (22nd day before Election Day)	Local Government Act 1995	s.4.38(1) Elections Reg.18	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Sep	Elections - Supply of Rolls - 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	Council - 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	Report on Waste Plan - Perth, Peel and major regional centre LGs must submit report on the implementation of their waste plan, including any or all of matters in s.44(2) required by the CEO of DWER. First due: 1 October 2021, then annually by 1 October	Waste Avoidance and Resource Recovery Act 2007	s.44		Annually Due 1 October	Infrastructure Services	Waste Services	Manager Waste Services				
Sep	Annual return under regulation 18C - Department of Water Environmental Regulation has accepted City of Joondalup's 2023-24 annual return under regulation 18C of the Waste Avoidance and Resource Recovery Regulation 2008. Annually by 1 October	Waste Avoidance and Resource Recovery Regulations 2008	Regulation 18C		Annually Due 1 October	Infrastructure Services	Waste Services	Manager Waste Services				
Sep	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	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	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	Register of Grants and Sponsorship The CEO must keep a register of grants and sponsorship containing the information in Regulation 29G(3) of the Admin Regs. The register must be made publicly available on the City's website, and must be up-to-date as at the beginning of 1 July 2025.	Local Government (Admin) Regs 1996	29G	This section comes into effect on 1 July 2025 in accordance with the Local Government Regulations Amendments Regulations 2024.	Quarterly							
Oct	Register of Contracts for Goods and Services The CEO must keep a register of goods and services containing the information in Regulation 29I(3) of the Admin Regs. The register must be made publicly available on the City's website, and must be up-to-date as at the beginning of 1 July 2025.	Local Government (Admin) Regs 1996	29I	This section comes into effect on 1 July 2025 in accordance with the Local Government Regulations Amendments Regulations 2024.	Quarterly	Corporate Services	Financial Services	Manager Financial Services				
Oct	Monthly Financial Report 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	Payments from municipal fund or trust fund 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	Payment by employees via purchasing cards 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	Water Efficiency Management Report 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	Geothermal Licence and Operating Strategy 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	Gifts Register - Update Register with new entries and removal of entries .	Local Government (Administration) Regulations 1996	s5.89A r28A		Monthly	Governance and Strategy	Governance	Manager Governance				
Oct	Council / Committee Meeting Schedule - 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	Review Council Member Continuing Professional Development Policy 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	Elections - Close of Absent Voting / Postal Voting Applications 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	Elections - Close of Early Voting 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	Election Day - Close of Poll 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	Elections - Result declared and published 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	Elections - 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	Elections - Report to Minister (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	Primary Returns - 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	Elections - Election Papers 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	Election of Deputy Mayor - elected from amongst the Councillors - conducted in accordance with Schedule 2.3, Div.1 - SCM - TBA	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	CEO Authority to Speak on behalf of the LG - 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	Appointment of Elected Members to External Bodies - SCM - TBA				Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Oct	Elections - 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	Electoral Gifts Register - 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	Gift Register - Review 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	FOI Statement - Commence review City's Information Statement (and FOI processes)	Freedom of Information Act 1992	s94-97		Annual	Governance and Strategy	Governance	Manager Governance				
Oct	Elected Member Induction - 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	Waterwise Council Program Annual re-endorsement report to manage water efficiency and waterwise practices.	Best practice.	N/a	Water Corporation Program	Annual	Governance and Strategy	Strategic and Organisational Development	Manager Strategic & Organisational Development				
Oct	Annual Performance Review - CEO & Staff Development Review - Audit	Local Government Act 1995	s. 5.38		half-yearly	Governance and Strategy	Governance	Manager Human Resource Services				
Oct	Register of Leases The CEO must keep a register of leases containing the information in Regulation 29F(3) of the Admin Regs. The register must be made publicly available on the City's website, and must be up-to-date as at the beginning of 1 July 2025.	Local Government (Admin) Regs 1996	29F	This section comes into effect on 1 July 2025 in accordance with the Local Government Regulations Amendments Regulations 2024.	Quarterly	Infrastructure Services	Asset Management	Manager Asset Management				
Oct	Local Emergency Management - Annual report of Local emergency management committee	Emergency Management Act 2005	s. 40 (1)		Annual	Infrastructure Services	Asset Management	Manager Asset Management				
Oct	ABS - Submit quarterly road construction report to Australian Bureau of Statistics				Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				
Oct	MRRG Road Improvement and Rehabilitation and Black Spot Road Project Grants - Submit quarterly report	MRWA State Road Funds to Local Government Procedures			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				
Oct	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	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				
Oct	Roads to Recovery - Online submission expenditure report and forecast for the next quarter	Roads to Recovery Act 2000 (Cth)			Quarterly	Infrastructure Services	Engineering Services	Manager Engineering Services				
Oct	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				
Oct	Register of Development contributions The CEO must keep a register of development contributions containing the information in Regulation 29H(3) of the Admin Regs. The register must be made publicly available on the City's website, and must be up-to-date as at the beginning of 1 July 2025.	Local Government (Admin) Regs 1996	29H	This section comes into effect on 1 July 2025 in accordance with the Local Government Regulations Amendments Regulations 2024.	Quarterly	Planning and Community Development	Planning Services	Manager Planning Services				

Oct	Bush Fires - Advertise prohibited burning times	Bush Fires Act 1954	s. 17(8)		Annual	Planning and Community Development	Community Safety	Manager Community Safety				
Oct	Bush Fires - 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
	November - Take Action											
Nov	Public Interest Disclosure Officer- 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)	Public Sector Commission Website - PID Officer's Code of Conduct and Integrity Public Sector Commission Website - PID Officer's Declaration Form	Annual	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
Nov	Public Interest Disclosure Procedures - 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)	Public Sector Commission Website - Commissioner's Guidelines for Public Authorities	Annual	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
Nov	Monthly Financial Report LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC website - WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Nov	Payments from municipal fund or trust fund 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	Payment by employees via purchasing cards 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	Annual Financial Report - Audit by 31 December 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	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Nov	Annual Report - Auditor Report CEO Certified 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)	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Nov	Safety Assessment and Improvement Plan 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	Annual	Corporate Services	Leisure and Cultural Services	Manger Leisure and Cultural Services				
Nov	Audit - Auditor's Report to Council via Audit Committee 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	Gifts Register - 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	Elections - Destruction of Election Papers - 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	DLGSC website - Returning Officer Manual	Biennial Next due 2025	Governance and Strategy	Governance	Manager Governance				
Nov	Establishment of Audit Committee - 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	Establishment of Committees - 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	Establishment of Committees - 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	Election of Committee Presiding Members and deputies - 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	Election Papers - 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	Elections - Enrolment Eligibility Claims (Owners and Occupiers) Register - Review register and take action re expired Eligibility Claims (no longer property owner / claim based on occupation or nominee expired)	Local Government Act 1995	s.4.35 Elections Regs. 14 and 15 Form 6 and 7	WALGA website - Template Enrolment Eligibility Claims Register	Biannual (Apr & Nov)	Governance and Strategy	Governance	Manager Governance				
Nov	Financial Interests Register - Review Issue and review Primary Returns; Update Register - Add/remove entries; Update disclosures on website.	Local Government Act 1995	s.5.88(3)(4)	WALGA - Governance Subscription - Guideline - Primary and Annual Returns Management DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Bi-monthly	Governance and Strategy	Governance	Manager Governance				
Nov	Gifts - 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	Local Emergency Management Committee - Hold committee meeting quarterly in accordance with the Act	Emergency Management Act 2005	s. 38		Quarterly	Infrastructure Services	Asset Management	Manager Asset Management				
Nov	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	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
	December - Take Action											
Dec	Business Continuity Plan - Review Review the Business Continuity Plan to ensure it remains functional and is tested against current operational requirements. Last completed: 2024 Next Due: 31/12/2026	n/a	n/a	AS/NZS 5050:2010 Business continuity – Managing disruption-related risks	Biennial Next Due: 2026	Office of the CEO	Audit, Risk and Executive Services	Manager Audit, Risk and Executive Services				
Dec	Monthly Financial Report LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC website - WA Local Government Accounting Manual	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Dec	Payments from municipal fund or trust fund 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	Payment by employees via purchasing cards 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	Emergency Services Levy - Remittance DUE by: 21st of the month Option A Remittance Report - see Form B Schedule 5 and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures	Clause 5.13.	DFES -ESL website - Manual of Operating Procedures	Monthly	Corporate Services	Financial Services	Manager Financial Services				
Dec	Emergency Services Levy - Option B Payment Due by: 21 December and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures		DFES -ESL website - Manual of Operating Procedures	Quarterly	Corporate Services	Financial Services	Manager Financial Services				
Dec	Annual Report - Accepted , by Absolute Majority, by no later than 31st December 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	DLGSCI website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Dec	Annual Report - Auditor Report to Department Executive Director Copy of the Annual Financial Report is to be submitted to the DLGSCI Executive Director within 30 days of the receipt by the CEO of the Auditors Report.	Local Government Act 1995	FM.Reg.51(2)	DLGSC website - WA Local Government Accounting Manual	Annual	Corporate Services	Financial Services	Manager Financial Services				
Dec	Audit - Auditor's Report Copies provided 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	Elected Members - 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	Gifts Register - 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	Information Statement LG must publish an up-to-date <i>Information Statement</i> , reviewed within every 12-months Last completed: Dec 2023 Due by: Dec 2024	Freedom of Information Act 1992	s.96		Annual	Governance and Strategy	Governance	Manager Governance				
Dec	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	MRWA State Road Funds to Local Government Procedures			As required	Infrastructure Services	Engineering Services	Manager Engineering Services				
Dec	Local Emergency Management - 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	Local Government Road Asset & Expenditure Report - Submit Expenditure Report to WALGA / Grants Commission				Annual	Infrastructure Services	Asset Management	Manager Asset Management				
Dec	Budget New - 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	Local Heritage Survey - Updates and reviews 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)	Heritage Council Guidelines for Local Heritage Surveys	Annual	Planning and Community Development	Planning Services	Manager Planning Services				

Dec	Regional Homelessness Plan - Annual Review of the plan communicated to Elected Members via Desk of the CEO item after ELT approval.	Best practice.		DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual	Planning and Community Development	Community Development and Library Services	Manager Community Development & Library Services				
Dec	Age-Friendly Plan - Annual Review of the plan communicated to Elected Members via Desk of CEO item after ELT approval.	Best practice.		DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual	Planning and Community Development	Community Development and Library Services	Manager Community Development & Library Services				

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Report 25: 2023-24 | 28 June 2024

PERFORMANCE AUDIT

Staff Exit Controls at Large Local Government Entities



**Office of the Auditor General
for Western Australia**

Audit team:

This audit was conducted by Paxon Group engaged under section 29 of the *Auditor General Act 2006*.

The audit was conducted under the direction of Nayna Raniga and Andrew Harris.

National Relay Service TTY: 133 677
(to assist people with hearing and voice impairment)

We can deliver this report in an alternative format for those with visual impairment.

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The Office of the Auditor General acknowledges the traditional custodians throughout Western Australia and their continuing connection to the land, waters and community. We pay our respects to all members of the Aboriginal communities and their cultures, and to Elders both past and present.

WESTERN AUSTRALIAN AUDITOR GENERAL'S REPORT

Staff Exit Controls at Large Local Government Entities

Report 25: 2023-24
28 June 2024

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**THE PRESIDENT
LEGISLATIVE COUNCIL**

**THE SPEAKER
LEGISLATIVE ASSEMBLY**

STAFF EXIT CONTROLS AT LARGE LOCAL GOVERNMENT ENTITIES

This report has been prepared for submission to Parliament under the provisions of sections 24 and 25 of the *Auditor General Act 2006*.

Performance audits are an integral part of my Office's overall program of audit and assurance for Parliament. They seek to provide Parliament and the people of WA with assessments of the effectiveness and efficiency of public sector programs and activities, and identify opportunities for improved performance.

This audit assessed whether eight large metropolitan local government entities effectively and efficiently manage the exit of staff to minimise security, asset and financial risks.

I wish to acknowledge the entities' staff for their cooperation with this audit.

A handwritten signature in black ink, appearing to be 'C Spencer'.

Caroline Spencer
Auditor General
28 June 2024

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Auditor General's overview

This audit assessed the effectiveness of staff exit controls at eight large metropolitan local government entities. It follows similar audits in both State government entities and government trading enterprises (GTE). The eight entities employ a large number of staff, often across multiple locations, many of whom are casual and temporary employees. In our audit period they also incurred significant staff turnover.



Overall we found that payroll and finance controls were largely effective, but physical security and information technology risks were not always minimised and there were gaps in the documentation of the return of assets. Although this exposes the entities to increased risk, I am pleased that we did not find any instances where information systems had been accessed inappropriately or where assets had been lost or stolen.

All the entities had processes in place for staff exits but their maturity and design varied. Similar to State government entities and GTEs we found that they did not effectively document the assessment of risk and adjust controls to take account of staff leaving high integrity positions.

The risks and challenges identified in my report are not confined to the eight entities we audited. I encourage all public sector entities to look at the findings and recommendations in this report, and draw on the better practice guidance provided in Appendix 1. These should be applied by entities to meet their operational requirements to ensure they have effective staff exit controls in place.

Executive summary

Introduction

Our Office regularly conducts audits to ensure that controls are effective and working as intended. Our recent audits of staff exit controls in State government entities and government trading enterprises (GTE) found access to work premises and information technology (IT) were not consistently cancelled immediately, and exit controls were not assessed for risk and were not adjusted for high integrity positions.

This audit assessed whether eight large metropolitan local government entities (entities) effectively and efficiently manage the exit of staff to minimise security, asset and financial risks. We considered if these entities have appropriate policies and procedures, and whether these are complied with to effectively manage staff exits. This report names local government entities in highlighting good practice and areas to improve. These learnings can be applied more broadly across local government entities and the public sector. Entities have not been named where financial controls are applicable.

Background

The risks relating to staff exits are common to all public sector entities. The local government sector is no exception. It employs a large number of staff, often across multiple locations, many of whom are casual and temporary employees. Entities often see large movements in staff. Our audit covered staff exits during the period 1 January 2023 to 31 December 2023 (Table 1).

City	Headcount	Total staff exits	Casual and temporary staff exits	Permanent staff exits
Armadale	701	213	100	113
Canning	813	270	125	145
Gosnells	671	112	47	65
Joondalup	1,014	207	134	73
Rockingham	725	194	88	106
Stirling	1,490	289	169	120
Swan	1,118	235	67	168
Wanneroo	957	187	43	144
Total	7,489	1,707	773	934

Source: OAG using audited entity information

Table 1: Headcount and the number of staff exits at the eight local government entities in 2023

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

When staff leave by resignation, retirement, end of contract or through dismissal the entity should:

- immediately cancel access to information systems, premises and confidential information

- revoke all physical controls such as identity cards, security access passes (fobs or cards) and keys
- collect all entity owned property
- offer exit interviews
- issue a reminder of the individual's ongoing obligations not to disclose entity information.

Entities should also consider and assess risks presented by staff leaving high integrity positions, or are terminated for misconduct or other adverse reasons. Risk assessments help entities to identify and understand security implications and reduce risks to information, assets and finances. Information to assist entities to manage these risks is included in Appendix 1.

Risk assessments are better managed by adopting a systematic approach that is documented in exit procedures and checklists used by entities. This includes considering post-employment integrity risks and making clear the ongoing requirement for staff to maintain security of information and return all IT assets when the person's employment ends.¹

To manage staff exits effectively entities require policies and procedures that coordinate activities across multiple business units (these can include human resources, payroll, finance, security, IT and fleet). Entities also need to monitor staff exits to ensure compliance with their policies and procedures, and reduce risk.



Source: OAG using audited entity process maps and information

Note: The business unit names and configurations may vary at different entities.

Figure 1: Five key business units generally involved in the staff exit management process

¹ Office of the Auditor General, [Local Government 2022-23 – Information Systems Audit Results](#), OAG, 27 May 2024.

Conclusion

The entities we audited were partly effective in managing staff exits to minimise security, asset and financial risks. Payroll and finance controls in all eight entities were largely effective, but physical security and IT risks were not always minimised and there were gaps in the documentation of the return of assets. Although this exposes the entities to increased risk, we did not find any instances where information systems had been accessed inappropriately or where assets had been lost or stolen.

All the entities had processes in place for staff exits but their maturity and design varied. Entities' monitoring and oversight of the completion and effectiveness of exit controls was limited. Documentation of end-to-end processes varied across the eight entities, and only two entities had processes in place which enabled them to monitor that all exit activities have been completed. Data to check whether IT and security access had been cancelled was inadequate in most entities, mainly because the ageing systems in use at these entities lacked effective reporting functionality.

Similar to State government entities and GTEs, local government entities are not yet mature in assessing risk and adjusting staff exit controls to take account of high integrity positions. Factors such as access to confidential information and/or critical systems are not subject to risk assessment and exit controls are not adjusted accordingly. Although exit interviews or surveys were offered, completion rates were low restricting analysis of results. We did find some entities do not review outcomes of exit interviews and surveys. This reduces opportunities to improve business processes and staff retention, which is a key challenge for many entities.

Findings

Access to buildings and IT was not consistently removed on a timely basis when staff left

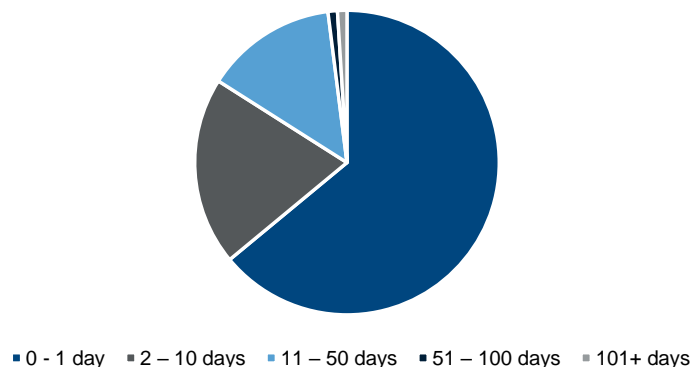
Cancelling access to buildings often took more than a day risking unauthorised access to premises

Physical access cancellation at all eight entities was not always performed on a timely basis, specifically within a day of the employee exit. This exposes the entities to increased risk in terms of unauthorised access to buildings, misappropriation of assets and possible damage to premises.

Almost one third of the staff exits we examined showed access was not cancelled within a day after the employee's last day of employment. We tested 15 exits at each entity.

Across the three entities where data analysis could be performed for the population of exits (Table 2), access was cancelled on a timely basis in 65% of cases, with 35% between two and 101 plus days (Figure 2).

0-1 day	2-10 days	11-50 days	51-100 days	101+ days
65%	20%	13%	1%	1%



Source: OAG based on exit data provided by three local government entities

Figure 2: Days taken to remove physical access

We were able to determine from our sample exits that security cards had been disabled. Processes were also in place for the return of security access cards but we were unable to evidence the return or destruction of these at all eight entities.

In addition to building access cards, some employees also received staff identify cards. At most entities, it was not possible to determine the date of return of identity cards as the cards are destroyed and no documentation is kept. Identity cards allow the holder to exercise powers, such as performing inspections and if they have not been returned and destroyed it increases the risk of them being used inappropriately after someone leaves. This risk is relatively low as there are processes in place to prompt the return of identity cards on staff exit.

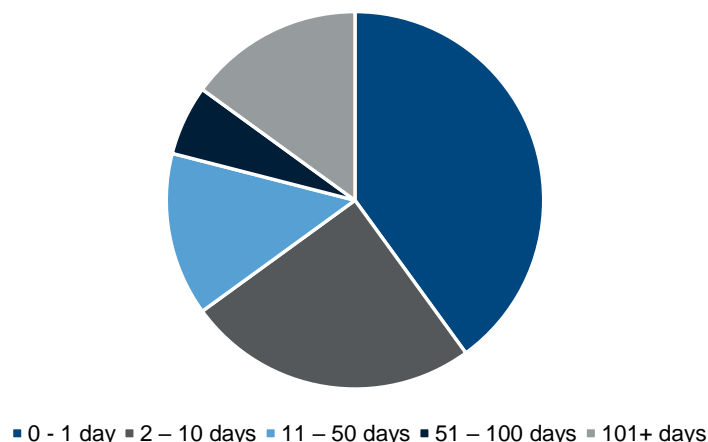
Access to IT was not always cancelled within 24 hours

IT access cancellation was not performed on a timely basis at seven of the eight entities, with 38% of the samples tested not cancelled within 24 hours of staff exit. This increases the risk of inappropriate or unauthorised access being obtained to the entity's information and data. The City of Wanneroo was the only entity where all the exits we tested showed timely cancellation of less than one day.

There were no instances of unauthorised access by an employee after their exit date. We found a very low number of instances of activity on user accounts after exits, but this was approved IT department activity, rather than inappropriate user activity.

Across the six entities where the data allowed us to perform analysis (Table 2), 43% of the total number of exits were timely cancellations but 57% were not, with 4% over 101 days (Figure 3).

0-1 day	2-10 days	11-50 days	51-100 days	101+ days
43%	34%	16%	3%	4%



Source: OAG based on exit data provided by six local government entities

Figure 3: Days taken to remove IT access

Of the eight entities only the City of Rockingham had defined target timeframes for the cancellation of access to IT and security access cards. It also performed significantly better than the other entities where we were able to analyse the data across the entire population of staff exits.

The return of assets was not always actioned or documented effectively

The return of assets was not always effectively documented

While we did not find any instances where assets had been lost or stolen, it was not possible to confirm that assets allocated to exiting staff were returned at the point of exit.

Although all eight entities have processes to administer the return of assets we found that forms were not always in place or completed to identify which assets had been allocated to which staff, and when they were returned.

IT assets issued to staff are generally not physically returned to IT centrally but provided directly to the replacing employee or to the line manager. IT asset registers were either in place or in development at all eight entities, but there is no clear audit trail of the details of assets being allocated, transferred and returned at most entities leaving uncertainty as to who has the asset at any point in time.

There were instances where exited employees were still included as the custodians of assets within the registers. Where this did occur, entities were able to demonstrate assets had been returned and were still being used within the respective entity.

Although fleet assets could be evidenced as returned at six entities, fleet asset documentation was not always completed for the return of vehicles and related assets such as fuel cards. Limited documentation was available at the cities of Gosnells and Armadale, as vehicle return forms are not used by these entities. The return of vehicles and the related fuel card was identified through the allocation of the vehicle to a different employee, but due to the absence or lack of completed forms we could not always determine the timeliness of their return.

Controls over final payments need to be consistently implemented at two entities

Although most entities had effective controls over financial payments, we found:

- at one entity the final payment for 10 exits, considered to be standard exits, was calculated by the system with no further checks occurring
- one person within our sample owed money to an entity, but the value was not established until after they had exited and the final salary payment had been made. This exposes the entity to an increased risk of non-payment, though in this instance the value was not considered high.

Entities need to ensure that their controls over final payments to exiting employees are consistently implemented. Making errors in final payments risks either underpaying exiting employees which is not acceptable or overpaying and then having to recover funds from staff who have left the entity.

Processes for monitoring the timely completion of exit activities vary in their effectiveness

There are gaps in entities' monitoring of whether exit processes have been completed

Exit controls work across multiple business units that don't always interact on a regular basis. Because of this, entities need to have processes in place to make sure these controls are performed. We found limited monitoring had been performed by the entities to confirm all exit activities had been completed contributing to the findings within this report.

At six entities processes were in place to initiate the required exit activities and notify the relevant business unit of the exit of an employee, but there was no reporting of completed actions by the relevant business unit:

- at the cities of Swan and Canning there were no exit checklists to confirm the completion of exit activities by the line manager
- at four other entities checklists were used and completed by the line manager of the exiting member of staff but testing identified that they were not always fully completed. At the City of Armadale use of the checklist was noted as being optional. The City of

Rockingham was the only entity able to demonstrate completion of exit checklists for all exiting staff tested

- only two entities, the cities of Joondalup and Gosnells, had the capability to monitor the completion of all exit activities (Case study 1). However, this is limited to statements of completion that could not always be evidenced.

Case study 1: Effectively designed exit processes

On notification and acceptance of a staff exit, an entry is created in a database containing the employee's details, last day of employment and through a workflow system, tasks are assigned to the different business units involved in performing exit activities. The process to this point is common for all eight entities.

At the cities of Joondalup and Gosnells, these tasks remain open until they are noted in the database as completed, along with a comment to identify the action taken. Human resources can monitor these responses. Any actions that have not yet been performed can be clearly identified to help assess the timeliness and completeness of exit activity. The other entities do not have this degree of confirmation and accountability.

There is also a step related to post-exit confidentiality with the departing employee informed or required to formally acknowledge these requirements.

These entities with better designed processes may require less effort to ensure that their controls are operating effectively due to the effort already expended on their design.

Entities' data for monitoring exit controls was limited

As part of the audit we compared the date of exit to the IT and physical security access cancellation data for all exits in our audit period. However, limitations in entities systems and reporting capabilities meant that we could not do this for all the entities (Table 2). The lack of data and reporting, often due to a lack of functionality in the systems used, limits the entities' ability to effectively monitor the operation of exit processes.

The lack of timely cancellation of IT and security access increases the risk of unauthorised access to premises and information post-employment or provides a loophole for others to exploit.

City	Security access data analysis	IT access data analysis
Armadale	Data not available	Performed
Canning	Data not available	Data not available
Gosnells	Data not available	Performed
Joondalup	Data not available	Performed
Rockingham	Performed	Performed
Stirling	Performed	Performed
Swan	Performed	Performed
Wanneroo	Data not available	Data not available

Source: OAG based on entity data

Table 2: Summary of data analysis performed

Security access cancellation dates were not available for the total number of exits as information is administered in basic systems with limited reporting functionality. Only three entities could provide this information.

Information relating to security cancellation for individuals was available, however at the City of Canning it was not possible to obtain complete information on individual exit security cancellation dates as they were manually recorded on spreadsheets or information was missing.

At two entities IT access cancellation dates were only available by individual and not for all exits due to system reporting limitations. Improvements in the availability of this data would enable entities to implement more effective oversight of these areas and perform comparison of the cancellation dates to assess their completeness and timeliness.

Exit controls are not responsive to the risks with exits from high integrity positions and are not effectively documented

Exit controls are not adjusted to reflect high integrity positions and are not effectively documented

None of the entities had a documented process for assessing risk when someone is leaving a high integrity position or could demonstrate additional measures that might be required to manage their exit. For example, controls may need to be adjusted to manage risks or security concerns of staff who are in high integrity positions where they have access to things like confidential information or payroll systems or bank accounts. Measures were in place for higher risk exits where there were performance or disciplinary issues.

Risks are most effectively identified and managed with a systematic approach to assessing them. Risk assessments assist entities to identify security implications and tailor approaches to minimise risks to information, assets and finances. An understanding of the risks and having documented procedures to mitigate them allows adjustments of controls to be made in the staff exit process to match the circumstances. High integrity positions are not always senior positions and risk assessments need to take account of access to information, systems and resources.

At one entity an employee who left was not removed from the bank authorised signatory listing until 105 days after exiting, which increases the risk of unauthorised transactions or access occurring. This may have been mitigated if the increased risk had been considered. In this instance there were mitigating controls with dual signatories required for all administrative changes to bank accounts and the employee did not have access to the banks online system to make transactions. However, this type of delay greatly increases the risk to the entity if the exiting staff member had greater banking access.

Exiting staff were not consistently reminded of their post-employment confidentiality obligations

There was no confidentiality obligation acknowledgement for employees post-exit at six entities. Processes on entry and during employment through the Code of Conduct were in place, but there was no reminder or agreement signed on exit except for the cities of Joondalup and Gosnells.

Entities should ensure that all exiting staff especially those with access to sensitive or classified information are advised and acknowledge their obligation not to disclose entity information even after they leave. This helps safeguard entity resources and limit potential for the integrity, availability and confidentiality of sensitive information to be compromised.

There were gaps in the documentation of exit processes at all the entities

Exit controls are distributed across multiple business units who need to work together to be effective. However, none of the entities had end-to-end documented processes to facilitate

the consistency, completeness and timeliness of the operation of exit controls and processes.

High level process documents or team specific documents were in place across the entities, but none of these were comprehensive. The key gaps include:

- exit checklists and completion of process confirmation were not in place at the cities of Swan and Canning
- no specific guidance on the timeliness for performance of activities such as disablement of IT and security access at seven of the eight entities
- lack of information or records for the return or transfer of IT and other assets to evidence what is being transferred, when and to whom, at seven of the eight entities
- no confirmation to exiting employees of resignation acceptance, departure timing and terms at the cities of Swan and Gosnells.

Policy and procedure documents help guide and direct entity staff. They provide a structure for consistency and ensure compliance with regulations and standards. Having incomplete policy and procedure documents makes it hard for entities to align practice with their strategic values and comply with regulations and standards.

Exit surveys and interviews are not frequently completed and there is limited analysis of feedback

Processes for exit interviews and surveys were in place at all entities and were generally offered to all exiting employees, with feedback mechanisms including online surveys and internal forms sent out by email. Only 14 of the 120 exits tested completed the survey and provided feedback, which is a low response rate, although we acknowledge that this is in part because it is a voluntary process. The forms viewed varied in length from 14 to 79 questions, but there was no correlation between length and response.

At seven entities, there were limited or no documented processes to show systematic analysis of results from exit interviews and surveys completed by staff and reported to management to identify improvements. Information from exit interviews and surveys can help entities to assess strengths and vulnerabilities, and focus workforce management strategies to drive talent attraction and retention.

Recommendations

These recommendations are based on the eight entities we audited but are relevant for all local government entities and should be read in conjunction with the staff exit better practice guide at Appendix 1.

1. All entities should:
 - a. review and where required document end-to-end policies and procedures for employee terminations
 - b. regularly review staff exit information allowing effective oversight and monitoring of end-to-end processes and ensure compliance with policies and procedures.

Implementation timeframe: December 2024

Entity response: Supported by local government entities.

2. All entities should evaluate risk posed by different positions and termination types, develop and document procedures to manage the risks effectively and efficiently.

Implementation timeframe: Ongoing

Entity response: Supported by local government entities.

3. To minimise the risk of property and information loss all entities should:
 - a. ensure access to IT systems, buildings and banking delegations are removed or disabled within 24 hours of the exit date
 - b. ensure all assets are returned on or prior to the day of exit
 - c. put in place and complete a documented process for the allocation, return and transfer of identifiable assets between custodians to maintain a clear audit trail in asset registers
 - d. amounts payable to entities by exiting employees should be settled during final payment or repayment plans should be put in place prior to employees exiting
 - e. final payment calculations should be performed and reviewed in a timely manner, with evidence retained.

Implementation timeframe: Ongoing

Entity response: Supported by local government entities.

4. All entities should:
 - a. offer interviews to and/or survey all exiting staff
 - b. assess exit survey feedback processes in an attempt to increase feedback received and perform analysis of feedback received to identify improvement opportunities
 - c. develop post-employment confidentiality requirement confirmation processes in-line with better practice.

Implementation timeframe: December 2024

Entity response: Supported by local government entities.

Appendix 2 outlines individual local government entity responses to the recommendations above.

In accordance with section 7.12A of the *Local Government Act 1995*, the eight audited local government entities should prepare a report on any matters identified as significant to them for submission to the Minister for Local Government within three months of this report being tabled in Parliament, and within 14 days of submission publish it on their website.

Summary of recommendations applicable to audited entity

■ Not effective process in place
 ■ Partly effective process in place
 ■ Effective process in place

Recommendation	Armadale	Canning	Gosnells	Joondalup	Rockingham	Stirling	Swan	Wanneroo
1a. Review and where required document end-to-end policies and procedures for employee terminations								
1b. Regularly review staff exit information allowing effective oversight and monitoring of end-to-end processes and ensure compliance with policies and procedures								
2. Evaluate risk posed by different positions and termination types, develop and document procedures to manage the risks effectively and efficiently								
3a. Ensure access to IT systems, buildings and banking delegations are removed or disabled within 24 hours of the exit date								
3b. Ensure all assets are returned on or prior to the day of exit								
3c. Put in place and complete a documented process for the allocation, return and transfer of identifiable assets between custodians to maintain a clear audit trail in asset registers								
3d. Amounts payable to entities by exiting employees should be settled during final payment or repayment plans should be put in place prior to employees exiting								
3e. Final payment calculations should be performed and reviewed in a timely manner, with evidence retained								
4a. Offer interviews to and/or survey all exiting staff								
4b. Assess exit survey feedback processes in an attempt to increase feedback received and perform analysis of feedback received to identify improvement opportunities								
4c. Develop post-employment confidentiality requirement confirmation processes in-line with better practice								

Source: OAG

Response from local governments entities

City of Armadale

Thank you for the opportunity to review and comment.

Recommendation 1:

The City agrees and supports the findings of the Audit. Whilst the City has procedures documented and some processes mapped, there is a gap in the mapping of the end-to-end process. The mapping will assist the City identify opportunities for seamlessly integrating the process and optimising the City's corporate business system.

Recommendation 2:

The City agrees with this finding and will facilitate a risk review with the relevant business units, reporting to the Audit Committee.

Recommendation 3:

- a. The findings are agreed and the City will implement an automated workflow to disable access, programmed ahead of time, where notice is provided.
- b & c. The findings are agreed and the City will review its process controls to confirm receipt, custody and allocation of assets. The process, which exists presently is manual paper based will be systemised through the IT ServiceDesk application software. It is also intended to utilise the City's new integrated Enterprise Resource Planning (ERP) system once functionality for transitioning staff is implemented.
- d. The City's business systems cater for final pay processing, including any payables. The City generally does not incur reimbursable costs attributable to employees.
- e. The City's integrated Enterprise Resource Planning (ERP) system calculates final payments and there is a check completed outside the system to confirm.

Recommendation 4:

The City agrees with the findings and has a process in place for exit interviews. The requirement for post-employment confidentiality requirement confirmation processes will be built in the system for certain staff. The City does not agree with the implementation timeframe and the due date proposed to be set by the City is March 2025 to align with the implementation of the City's new ERP and the introduction of additional functionality for transitioning staff.

City of Canning

The City of Canning accepts the findings and welcomes the recommendations contained in the Summary of Findings report. It is pleasing that there was no evidence of loss or misuse and the City values the opportunity to focus on systemising practices to ensure risk is controlled.

City of Gosnells

It is very pleasing to note the audit found no instances where information systems were accessed inappropriately or where assets were lost or stolen. This would indicate that the controls in place are broadly effective and, consequently, the risk is low.

It is acknowledged that further work can be undertaken to tighten controls, and this will be done in areas where risk can be mitigated cost effectively. However, the City is always mindful about investing monies in internal processes where the risks are low as this detracts from the City's ability to provide much needed services and facilities to the community.

Recommendation 1:

Agreed. The City will consolidate its processes into a single corporate document.

Recommendation 2:

The City currently evaluates risk for different termination types and for staff in higher risk positions based on the circumstance at the time of termination. These circumstances will be formally documented.

Recommendation 3:

The City acknowledges the need to improve record keeping around the timely revocation of building access and the return of identifiable assets.

The City is satisfied that IT access is revoked in a timely manner, however due to limitations in the system this is difficult to evidence. It is noted that there were no specific findings for the City in relation to amounts payable to exiting employees and final payment calculations.

Recommendation 4:

The City is satisfied with its current process for exit interviews. Exit interviews are offered to all staff who resign and are given the choice of a face to face or online interview. Adequate review of feedback is undertaken from a City perspective. It is noted that the City already issues a post-employment confidentiality reminder.

City of Joondalup

The City of Joondalup appreciates the opportunity to participate in the Office of the Auditor General performance audit on staff exit controls within local government entities.

The City has a strong focus on strengthening integrity and conduct controls to assist in mitigating risk exposures including financial loss, breaches of legislation and law and significant reputational damage. The City takes both proactive and reactive measures as required to ensure systems of control are subject to regular review, with corrective action being taken, and control improvements made in a timely manner. Improvements relating to the area under audit have been implemented over the past 12 months.

The City accepts all the recommendations made and will prioritise their implementation, to ensure they are completed by the timeframes included in the report.

City of Rockingham

The City does not agree with the significant finding that there are no effective processes in place to "regularly review staff exit information allowing effective oversight and monitoring of end to end processes and ensure compliance with policies and procedures" (recommendation 1B). The City is of the view that the Office of the Auditor General (OAG) has not taken into consideration that the City undertakes a periodic review of our staff exit information via our internal audit team, against better practice. The City's 2023 staff exit internal audit report and findings were provided to the OAG as evidence of this control. Similarly, the OAG appear not to have considered that the City's Customer Relationship

Management System is effectively able to track completed requests to cease building and IT access (as a monitoring control) for staff who are ceasing employment.

The City does however agree that the overall Summary of Findings recommendations made for the local government sector are reflective of good practice.

OAG note:

We note the City of Rockingham's response. We have considered all the evidence that was provided to us both during and after the audit conduct and procedural fairness processes. The findings of this report and the specific findings reported to the entity reflect our final assessment against the audit criteria and relative to other entities in this audit, and our previous audits in other public sector segments.

City of Stirling

The City of Stirling thanks the OAG for the review and welcomes the findings contained in the report. The City recognises the importance of an effective staff exit process and is fully committed to implementing the OAG recommendations to strengthen controls over the exit process to minimise security, asset and financial risks.

The City agrees with the summary of recommendations of the report.

City of Swan

The City welcomes the findings and recommendations detailed in the report and acknowledges its staff exit controls were rated to be partly effective. All recommended improvements will be implemented as a priority to ensure the City's staff exit processes are effective and in line with industry best practice. This includes the implementation of an overriding checklist of the end-to-end staff exit process to ensure all actions are appropriately documented and signed off.

Recommendation 1:

End-to-end policies and procedures for employee terminations will be compiled and annual reviews will be conducted by management to monitor compliance and timing of action.

Recommendation 2:

A process for identifying positions that may pose a higher risk at time of separation is being considered to ensure appropriate actions are taken to mitigate the risk exposure associated with that position. The different risk profiles of these positions does not facilitate a standard approach. Each separation involving a position identified as high risk will be addressed according to the specific risk exposure (IT access / \$ authority / Access to confidential data / Asset allocation etc.).

Recommendation 3:

Processes to address 3.(d) and (e) will be reviewed and adjusted to meet the recommendation.

Recommendation 4:

Adjustment to existing processes to address the recommendation will be considered for implementation where applicable.

The City thanks the OAG for this review.

City of Wanneroo

The City of Wanneroo thanks the OAG for their review and welcomes the findings and recommendations. The City is fully committed to implementing recommendations that will support and strengthen the existing exit process, and appreciates that some processes were found to be effective. The City considers that implementation will further reduce the risks associated with staff that leave the organisation, particularly where they hold roles of additional authority. The recommendations will be progressed within the committed timeframes.

The City supports the summary of recommendations of the report.

Audit focus and scope

The audit assessed whether eight large metropolitan local government entities effectively and efficiently manage the exit of staff to minimise security, asset and financial risks.

The criteria assessed were:

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

The audit included the following entities:

- City of Armadale
- City of Canning
- City of Gosnells
- City of Joondalup
- City of Rockingham
- City of Stirling
- City of Swan
- City of Wanneroo.

The audit covered the period 1 January 2023 to 31 December 2023.

In conducting the audit we performed the following:

- held entrance meetings with the entities
- met with the Department of Local Government, Sport and Cultural Industries and local government sector bodies (Western Australian Local Government Association and Local Government Professionals WA)
- reviewed policy and procedure documents and supporting templates
- held meetings with key staff from human resources, payroll, finance, IT and security to gain an understanding of processes and perform walkthroughs
- tested a sample of 15 exits at each entity that covered positions of high level of responsibility or data access, field operatives and casual staff. This included 101, or 10% of, permanent staff and 19 casual staff
- sought evidence of exit processes:
 - termination checklists had been completed before or on the staff exit date and signed by the relevant authority
 - building access cards had been de-activated and/or keys had been collected prior to staff leaving
 - assets issued to staff (computers, tablets, mobile phones, vehicles) were returned
 - credit cards were returned and cancelled
 - access to the entity's IT systems was revoked within 24 hours of their departure

- an exit interview was offered or conducted
- final payments reviewed and money owed to the entity was identified and paid at the time of leaving
- risks posed by departing staff and circumstances of their exit were assessed
- sought data on all exits to perform data analysis to assess the timeliness of the cancellation of IT and physical security access.

We did not assess termination decisions and whether they complied with the relevant legislation.

This was an independent performance audit, conducted under section 18 of the *Auditor General Act 2006*, in accordance with Australian Standard on Assurance Engagements ASAE 3500 *Performance Engagements*. We complied with the independence and other ethical requirements related to assurance engagements. Performance audits focus primarily on the effective management and operations of entity programs and activities. The approximate cost of undertaking the audit and reporting was \$285,000.

Appendix 1: Staff exit better practice guide

Key requirements	
Assess and mitigate risks posed by exiting staff	<p>Entities should assess the security implication and other risks posed by the exiting staff member. Exiting staff can include those leaving voluntarily or terminated for misconduct or other adverse reasons.</p> <p>Below is a checklist of actions to be considered in a risk assessment:</p> <ul style="list-style-type: none"> • assigning a risk level by considering the reason for leaving (resignation, retirement, termination for corruption or misconduct) • reducing level of access to IT systems • limiting access to entity premises • monitoring accrued leave balance to reduce overpayments • identifying assigned assets (vehicles, mobile phones, laptops etc.) and assess need for immediate collection • removing access to confidential or secret information • consider position within the entity and level of delegated authority over staff • existing financial delegations and purchasing card limit • existing conflicts with staff.
Collect all entity owned property	<p>Entities should maintain an updated register of all assets issued to staff when they start and during their employment. Using information on the register ensures that all entity owned property is returned when staff leave. These include but not limited to:</p> <ul style="list-style-type: none"> • identification badges and name tags • office, cabinet and safe keys • access security passes and swipe cards • computer and other IT equipment - laptops, tablets, storage devices, headsets, mouse and keyboards • mobile phone and charger • vehicle keys, fuel cards and logbooks. <p>Where access security passes and keys are not returned entities should take immediate action to cancel access cards, reprogram or change locks.</p>

Key requirements	
Cancel all access to premises and IT systems	<p>Entities should ensure that exiting staff have their access to entity premises and information systems withdrawn or cancelled immediately when staff leave. These include but are not limited to:</p> <ul style="list-style-type: none"> • building (including carpark) access • computer login and network access • changing passwords or access to shared or high privileged accounts • email address • voicemail • remote access • corporate memberships • customer accounts with external organisations. <p>Where physical exit date and formal termination date differ, risks should be mitigated by removing access on the physical exit date.</p>
Issue reminder of ongoing obligations	<p>Entities should ensure that all exiting staff especially those with access to sensitive or classified information are advised and acknowledge their obligation not to disclose entity information. This helps safeguard entity assets and limit potential for the integrity, availability and confidentiality of sensitive information to be compromised.</p>
Offer exit interview	<p>Entities should offer staff exiting the option of an exit interview. This can be a structured discussion or survey to gauge their perception of working in the entity.</p> <p>Entities should also collate the data, report internally and where relevant act on the findings. Information from exit interviews can help entities assess organisational strengths and vulnerabilities, and target workforce management strategies to drive attraction, retention and performance.</p>
Prevent overpayments and recover debt owed	<p>Entities should ensure that they meet their responsibility to recover overpayments and rectify underpayments, while considering the needs and special circumstances of employees.</p> <p>Timely review of payroll information will reduce the likelihood of errors. Overpayments can also be prevented by checking employee leave balances before approving leave and avoiding late changes to booked leave or working arrangements where possible. Where overpayments occur entities need to make timely payment arrangements in-line with section 17D of the <i>Minimum Conditions of Employment Act 1993</i>.</p>
Regularly monitor and review staff exit processes	<p>Entities should periodically review staff exits to ensure that they comply with:</p> <ul style="list-style-type: none"> • entity policies and procedures • better practice.

Source: OAG, using policies from the Australian Government Protective Security Policy Framework

Auditor General's 2023-24 reports

Number	Title	Date tabled
25	Staff Exit Controls at Large Local Government Entities	28 June 2024
24	Implementation of the Earlier Intervention and Family Support Strategy	27 June 2024
23	Legal Services Provided to the State Solicitor's Office - Opinions on Ministerial Notifications	27 June 2024
22	Fraud Risks in the Management of Client Funds by the Public Trustee	26 June 2024
21	Electricity Generation and Retail Corporation (Synergy)	24 June 2024
20	Local Government Physical Security of Server Room Assets	24 June 2024
19	Local Government Management of Purchasing Cards	12 June 2024
18	Local Government 2022-23 – Financial Audit Results	6 June 2024
17	Local Government IT Disaster Recovery Planning	31 May 2024
16	Local Government 2022-23 – Information Systems Audit Results	27 May 2024
15	Government Campaign Advertising	15 May 2024
14	State Government 2022-23 – Information Systems Audit	12 April 2024
13	Provision of Supplementary Information to the Standing Committee on Estimates and Financial Operations – Opinions on Ministerial Notifications	5 April 2024
12	Digital Identity and Access Management – Better Practice Guide	28 March 2024
11	Funding for Community Sport and Recreation	21 March 2024
10	State Government 2022-23 – Financial Audit Results	20 December 2023
9	Implementation of the Essential Eight Cyber Security Controls	6 December 2023
8	Electricity Generation and Retail Corporation (Synergy)	8 November 2023
7	Management of the Road Trauma Trust Account	17 October 2023
6	2023 Transparency Report: Major Projects	2 October 2023
5	Triple Zero	22 September 2023

Number	Title	Date tabled
4	Staff Exit Controls for Government Trading Enterprises	13 September 2023
3	Local Government 2021-22 – Financial Audit Results	23 August 2023
2	Electricity Generation and Retail Corporation (Synergy)	9 August 2023
1	Requisitioning of COVID-19 Hotels	9 August 2023

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