

minutes

Audit and Risk Committee

MEETING HELD ON

MONDAY 24 FEBRUARY 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.

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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 24 FEBRUARY 2025.**

ATTENDANCE

Committee Members:

| | | |
|----------------------|---|--------------------|
| Cr John Raftis | <i>Presiding Member</i> | |
| Cr Rebecca Pizzey | | |
| Cr Lewis Hutton | | <i>from 6.03pm</i> |
| Cr Rohan O'Neill | <i>Deputy Presiding Member</i> | |
| Cr Phillip Vinciullo | <i>Deputising for Cr Hamilton-Prime</i> | |

Officers:

| | | |
|-----------------------|---|------------------|
| Mr James Pearson | Chief Executive Officer | |
| Mr Jamie Parry | Director Governance and Strategy | |
| Mr Nico Claassen | Director Infrastructure Services | |
| Mr Mat Humfrey | Director Corporate Services | |
| Mr Chris Leigh | Director Planning and Community Development | |
| Ms Christine Robinson | Manager Audit, Risk and Executive Services | |
| Mr Peter McGuckin | Internal Auditor | |
| Ms Candice Colbourne | Risk and Business Continuity Advisor | <i>to 6.28pm</i> |
| Ms Samer Al Janabi | General Counsel | |
| Mrs Kylie Bergmann | Manager Governance | |
| Mrs Laura Napier | Governance Officer | |
| Ms Caitlin Wood | Governance Support Officer | |

1 DECLARATION OF OPENING

The Presiding Member declared the meeting open at 6.01pm.

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

3 APOLOGIES AND LEAVE OF ABSENCE

3.1 APOLOGIES

Mayor Albert Jacob, JP.
Cr Christine Hamilton-Prime, JP.
Cr Daniel Kingston.
Mr Mark Hall.

4 CONFIRMATION OF MINUTES

4.1 MINUTES OF THE AUDIT AND RISK COMMITTEE HELD ON 28 OCTOBER 2024 AND 25 NOVEMBER 2024

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

- 1 Audit and Risk Committee meeting held on 28 October 2024;**
- 2 Special Audit and Risk Committee meeting held on
25 November 2024.**

The Motion was Put and

CARRIED (4/0)

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

Cr Hutton entered the Room at 6.03pm.

8 REPORTS

8.1 2024 COMPLIANCE AUDIT RETURN (WARD - ALL)

| | |
|-------------------------------|---|
| WARD | All |
| RESPONSIBLE DIRECTOR | Mr James Pearson Chief Executive Officer |
| FILE NUMBER | 32481, 09492, 101515 |
| AUTHORITY / DISCRETION | Executive - The substantial direction setting and oversight role of Council, such as adopting plans and reports, accepting tenders, directing operations, setting and amending budgets. |

PURPOSE

For Council to adopt the City's 2024 Compliance Audit Return (the Return) prior to it being submitted to the Department of Local Government, Sport and Cultural Industries (the Department).

EXECUTIVE SUMMARY

The Compliance Audit Return for the period 1 January 2024 to 31 December 2024 has been completed and is required to be adopted by Council before being submitted to the Department by 31 March 2025.

It is therefore recommended that Council:

- 1 ADOPTS the completed 2024 Local Government Compliance Audit Return for the period 1 January 2024 to 31 December 2024 forming Attachment 1 to this Report;*
- 2 REQUESTS the Chief Executive Officer, in accordance with Regulation 15 of the Local Government (Audit) Regulations 1996, to SUBMIT the completed Compliance Audit Return as detailed in Part 1 above, to the Department of Local Government, Sport and Cultural Industries.*

The Return identified one area of non-compliance for 2024.

BACKGROUND

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

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

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

The 2024 Return was made available to local government authorities by the Department via its centralised portal for completion online. The 2024 Return is similar to previous years and focuses on high risk areas of compliance and statutory reporting as prescribed in Regulation 13 of the *Local Government (Audit) Regulations 1996*.

DETAILS

The 2024 Return contains the following compliance categories:

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

Relevant Managers were required to complete the responses to the Return's questions which were approved by their Director before being forwarded to the Internal Auditor for review and input via the online portal on the Department website. The Return was also presented to the Executive Leadership Team – CEO and Directors – for review and comment. The Return has been completed and is now submitted for adoption by Council before being finalised and submitted to the Department by 31 March 2025.

There was one area of non-compliance, as follows:

- Disclosure of interest – Question 5

Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2024?

Four employees failed to lodge their annual return on time.

- One employee, in an acting position, submitted a late return due to an oversight.
- One employee submitted a late return whilst they were on extended leave.
- One employee submitted a late return due to an administrative oversight. The City did not identify that this position required a primary return and subsequent annual return to be completed.
- One employee has not submitted an annual return due to being on extended leave.

To reduce the risk of late return submissions Managers have been reminded to ensure that designated employees intending to take leave during the submission period submit their returns prior to their leave. The City had 10 designated employees on extended leave over the reporting period; with eight returns being submitted on time.

Legislation / Strategic Community Plan / Policy implications

Legislation *Local Government (Audit) Regulations 1996.*

10-Year Strategic Community Plan

Key theme 5. Leadership.

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

Policy Not applicable.

Risk management considerations

The risk associated with Council failing to adopt the 2024 Return would result in the Return not being submitted to the Department by 31 March 2025 and be non-compliant with the legislative requirements of the *Local Government (Audit) Regulations 1996*.

Financial / budget implications

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

Regional significance

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

Sustainability implications

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

Consultation

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

COMMENT

The results of the City's Compliance Audit Returns since 2019 has shown:

- 2019 – two areas of non-compliance relating to disclosure of interest and local government employees
- 2020 – two areas of non-compliance relating to optional questions and tenders for providing goods and services
- 2021 – two areas of non-compliance relating to disclosure of interest
- 2022 – no areas of non-compliance

- 2023 – two areas of non-compliance relating to delegation of power/duty and disclosure of interest
- 2024 – one area of non-compliance relating to disclosure of interest.

The City's responses for the 2024 Return are show in Attachment 1; responses for Returns since 2019 are shown in Attachment 2 and 3.

VOTING REQUIREMENTS

Simple Majority.

OFFICER'S RECOMMENDATION

That Council:

- 1 ADOPTS the completed 2024 Local Government Compliance Audit Return for the period 1 January 2024 to 31 December 2024 forming Attachment 1 to this Report;
- 2 REQUESTS the Chief Executive Officer, in accordance with Regulation 15 of the *Local Government (Audit) Regulations 1996*, to SUBMIT the completed Compliance Audit Return as detailed in Part 1 above, to the Department of Local Government, Sport and Cultural Industries.

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

- 1 **ADOPTS the completed 2024 Local Government Compliance Audit Return for the period 1 January 2024 to 31 December 2024 forming Attachment 1 to this Report;**
- 2 **REQUESTS the Chief Executive Officer, in accordance with Regulation 15 of the *Local Government (Audit) Regulations 1996*, to SUBMIT the completed Compliance Audit Return as detailed in Part 1 above, to the Department of Local Government, Sport and Cultural Industries;**
- 3 **REQUESTS the Chief Executive Officer to undertake an internal audit of the Compliance Audit Return for the period 1 January 2024 to 31 December 2024, to be presented to a future Audit and Risk Committee meeting.**

The Alternate Motion was Put and

CARRIED (5/0)

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

Against the Alternate Motion: Nil.

ATTACHMENTS

1. 2024 [8.1.1 - 8 pages]
2. 2019 to 2021 [8.1.2 - 17 pages]
3. 2022 to 2024 [8.1.3 - 17 pages]

8.2 CONFIDENTIAL - OPERATIONAL RISK REGISTERS (WARD – ALL)

| | |
|-------------------------------|--|
| 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 the 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.

OFFICER'S RECOMMENDATION

That the Audit and Risk Committee NOTES the City's 18 operational risk registers, forming Attachments 1 to 5 to this Report.

PROCEDURAL MOTION - THAT THE ITEM BE DEFERRED

MOVED Cr O'Neill, **SECONDED** Cr Pizzey that Item 8.2 - Confidential - Operational Risk Registers, **BE DEFERRED** to a future meeting of the Audit and Risk Committee to provide a status update on the review of the Risk Management Framework including potential improvements and the benefits and improvements of the introduction of quantitative measures, as per clause 10.1(a) of the *City of Joondalup Meeting Procedures Local Law 2013*.

The Motion was Put and

CARRIED (3/2)

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

Against the Motion: Cr Hutton and Cr Vinciullo.

The Risk and Business Continuity Advisor left the Room at 6.28pm.

8.3 PUBLIC SECTOR COMMISSION INTEGRITY EDUCATION THEMATIC REVIEW (WARD - ALL)

| | |
|-------------------------------|--|
| WARD | All |
| RESPONSIBLE DIRECTOR | Mr James Pearson Chief Executive Officer |
| FILE NUMBER | 11827, 107084, 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 Council to note the Public Sector Commission's Integrity Education Thematic Review.

EXECUTIVE SUMMARY

As part of the Public Sector Commissioner's role under section 45A (2)(b) and (c) of the *Corruption, Crime and Misconduct Act 2003*, a thematic review was undertaken to examine how a sample of public authorities builds the integrity knowledge and skills of their employees; the City was included in the review.

At its meeting held on 28 October 2024, the Audit and Risk Committee were notified of the City's inclusion in the review, and that the final report would be presented to Council via the Audit and Risk Committee.

The Public Sector Commission published the final report titled *Integrity Education – An integrity thematic review* on 9 December 2024 (Attachment 1 refers).

It is recommended that Council NOTES the Public Sector Commission's Integrity Education Thematic Review, forming Attachment 1 to this report.

BACKGROUND

The City has many controls in place to promote the highest standard of conduct and ethical behaviour, which have been expressed in the City's *Integrity Framework*.

The Audit, Risk and Executive Services business unit has an operational objective "to communicate the City's zero tolerance approach and response actions to fraudulent, corrupt and/or misconduct behaviours within the performance of its functions and interactions with contractors and suppliers, the community and all other stakeholders of the City." To support this objective, mandatory integrity and conduct training for employees commenced in May 2024; and to strengthen the City's integrity and conduct controls, learnings from reports of external oversight agencies are used as a gap analysis of issues requiring further consideration.

DETAILS

In June 2024, the City was advised by the Public Sector Commission that it will be included in a thematic review to examine how a sample of public authorities builds the integrity knowledge and skills of employees.

The review considered each authority's approach to integrity education, identifying and highlighting areas of good practice, and providing suggested actions to help all authorities strengthen their approach. The review focused on the following:

- Frameworks that govern integrity education.
- Approaches to educate employees.
- Reinforcement of integrity education.
- Evaluation and improvement of integrity education.

Key observations and improvement opportunities identified for the City are outlined in Attachment 2.

Legislation / Strategic Community Plan / Policy implications

Legislation Corruption, Crime and Misconduct Act 2003.

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

Strengthening integrity and conduct controls reduces risk. The City takes both proactive and reactive measures as required.

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

Regular reviews provide evidence of the appropriateness and effectiveness of systems and procedures regarding risk management, internal control and legislative compliance, as required by the *Local Government (Audit) Regulations 1996*.

Financial / budget implications

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

Regional significance

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

Sustainability implications

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

Consultation

Interviews were conducted with officer/s responsible for delivering or coordinating integrity education, as well as collection of relevant documentation.

COMMENT

The City's Integrity Officer was invited to be a panellist for the Public Sector Commission's International Anti-Corruption Day Community of Practice, which included the publishing of the thematic review report. Inclusion in such events allows for the sharing of expertise and insights from integrity practitioners which helps the Public Sector Commission to build integrity capacity of the government sector.

VOTING REQUIREMENTS

Simple Majority.

OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Vinciullo that Council NOTES the Public Sector Commission's Integrity Education Thematic Review, forming Attachment 1 to this report.

AMENDMENT MOVED Cr Raftis, SECONDED Cr O'Neill that the Motion be AMENDED to read as follows:

"That Council NOTES the Public Sector Commission's Integrity Education Thematic Review, forming Attachment 1 to this report and that a report on the opportunities will be provided to a future meeting of the Audit and Risk Committee".

The Amendment was Put and

CARRIED (5/0)

In favour of the Amendment: Cr Raftis, Cr Hutton, Cr O'Neill, Cr Pizzey and Cr Vinciullo.

Against the Amendment: Nil.

The Original Motion as Amended being MOVED Cr O'Neill, SECONDED Cr Vinciullo that Council NOTES the Public Sector Commission's Integrity Education Thematic Review, forming Attachment 1 to this report and that a report on the opportunities will be provided to a future meeting of the Audit and Risk Committee.

The Motion was Put and

CARRIED (5/0)

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

Against the Motion: Nil.

ATTACHMENTS

1. Public Sector Commission Report - Integrity Education - An integrity thematic review (December 2024) [8.3.1 - 13 pages]
2. City of Joondalup Report [8.3.2 - 2 pages]

8.4 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

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 O'Neill, SECONDED Cr Vinciullo 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 (5/0)

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

Against the Motion: Nil.

ATTACHMENTS

1. 2025 Corporate Compliance Calendar [8.4.1 - 26 pages]

8.5 HALF YEARLY REPORT - WRITE-OFF OF MONIES - 1 JULY 2024 - 31 DECEMBER 2024 (WARD - ALL)

| | |
|-------------------------------|--|
| WARD | All |
| RESPONSIBLE DIRECTOR | Mr Mat Humfrey Director Corporate Services |
| FILE NUMBER | 07032, 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 amounts of monies written off under delegated authority.

EXECUTIVE SUMMARY

The total amount written off under delegated authority during the six months ended 31 December 2024 was \$9,267. This amount consisted of 10,205 small unpaid rate amounts and two unpaid debtor items totaling \$271 with one being above the reportable limit.

It is therefore recommended that the Audit and Risk Committee RECEIVES the report of amounts written off under delegated authority for the period 1 July 2024 to 31 December 2024.

BACKGROUND

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

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

DETAILS

During the six months ended 31 December 2024 a total amount of \$9,267 was written off as unrecoverable. This amount includes the following:

- 10,205 unpaid rates balances below the reportable limit totaling \$8,996 representing in the main rounding decimals or other minor miscellaneous charges for which the cost of collection was, for all practical purposes, uneconomical.
- One item below the reportable limit, totaling \$79, related to an overpayment to an ex-staff member which went through multiple failed debt recovery attempts and was uneconomical to pursue further recovery action.

- One reportable debtor item totaling \$192, for unauthorised verge tree removal. With multiple debt recovery attempts through monthly and final demands being unsuccessful and, due to the value and age of the debt as well as limited prospects of success, this was not considered suitable for continued action.

Issues and options considered

Not applicable.

Legislation / Strategic Community Plan / Policy implications

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

10-Year Strategic Community Plan

Key theme 5. Leadership.

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

Policy Not applicable.

Risk management considerations

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

Financial / budget implications

| | |
|------------------------------|-----------------------|
| Account No | 3256 |
| Budget Item | Bad Debts Written off |
| Annual Budget | \$ 13,500 |
| Year to Date Budget | \$ 10,140 |
| Year to Date Actual | \$ 9,267 |
| Year to Date Variance | \$ 873 |

All amounts quoted in this report are exclusive of GST.

Regional significance

Not applicable.

Sustainability implications

Not applicable.

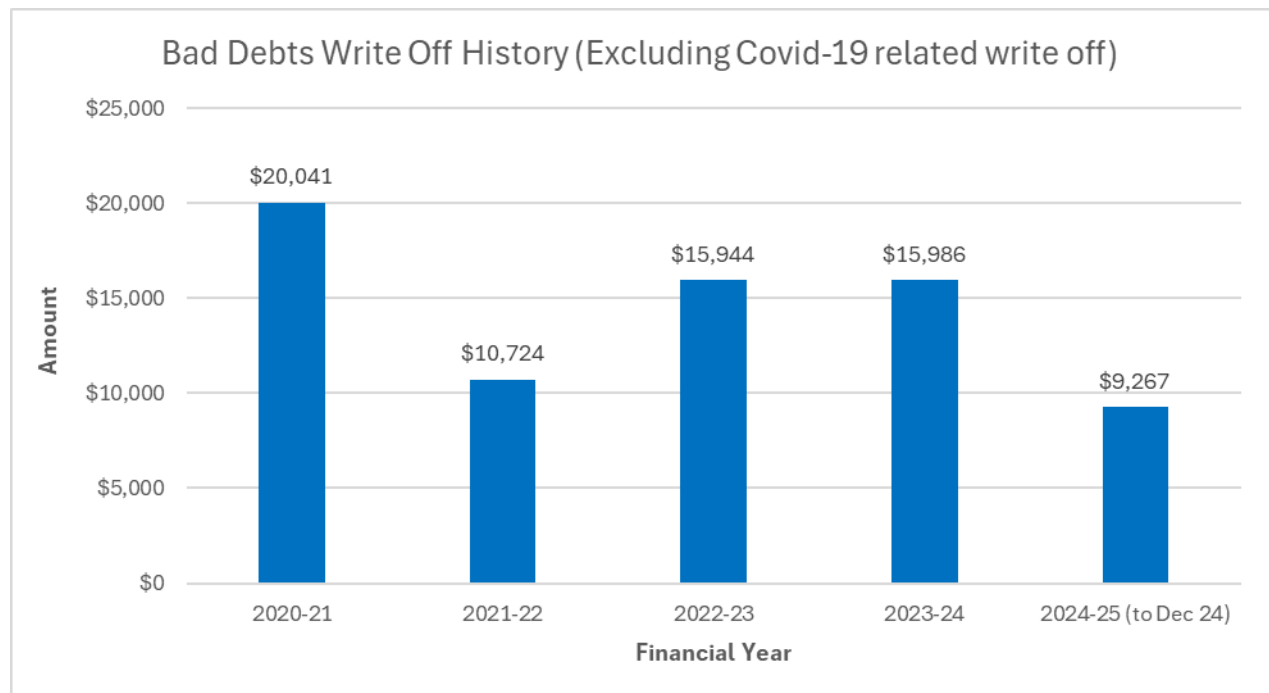
Consultation

Not applicable.

COMMENT

Monies written off under delegation comprised 10,205 small items of unpaid rates totaling \$8,996 as described in the report, as well as reportable unpaid debtor items totaling \$271 that were written off due to unsuccessful debt recovery action which was deemed uneconomical to continue.

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



VOTING REQUIREMENTS

Simple Majority.

OFFICER'S RECOMMENDATION MOVED Cr Raftis, SECONDED Cr Vinciullo that the Audit and Risk Committee RECEIVES the report of monies written off under delegated authority for the period 1 July 2024 to 31 December 2024.

The Motion was Put and

CARRIED (5/0)

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

Against the Motion: Nil.

ATTACHMENTS

1. CONFIDENTIAL REDACTED - Bad Debts Write-Off Details [8.5.1 - 1 page]

8.6 CONTRACT EXTENSIONS - 1 JULY 2024 TO 31 DECEMBER 2024 (WARD – ALL)

| | |
|-------------------------------|--|
| WARD | All |
| RESPONSIBLE DIRECTOR | Mr Mat Humfrey Director Corporate Services |
| FILE NUMBER | 07032, 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 details of contracts extended by the Chief Executive Officer between 1 July 2024 to 31 December 2024.

EXECUTIVE SUMMARY

The schedule of contracts extended by the Chief Executive Officer during the period 1 July 2024 to 31 December 2024 is provided in Attachment 1.

It is recommended that the Audit and Risk Committee NOTES the contracts extended by the Chief Executive Officer during the period 1 July 2024 to 31 December 2024, forming Attachment 1 to this Report.

BACKGROUND

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

DETAILS

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

Six contracts were extended during the period 1 July 2024 to 31 December 2024.

Issues and options considered

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

Legislation / Strategic Community Plan / Policy implications

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

10-Year Strategic Community Plan

Key theme 5. Leadership.

Outcome 5-4 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

Not applicable.

Financial / budget implications

In accordance with each individual Contract and approved budget limits.

Regional significance

Not applicable.

Sustainability implications

Not applicable.

Consultation

Not applicable.

COMMENT

This report provides the Audit Committee with details of contracts originally approved by Council or by the Chief Executive Officer under delegated authority, which have subsequently been extended by the Chief Executive Officer during the period from 1 July 2024 to 31 December 2024.

VOTING REQUIREMENTS

Simple Majority.

OFFICER'S RECOMMENDATION MOVED Cr O'Neill, SECONDED Cr Hutton that the Audit and Risk Committee NOTES the contracts extended by the Chief Executive Officer during the period 1 July 2024 to 31 December 2024, forming Attachment 1 to this report.

The Motion was Put and

CARRIED (5/0)

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

Against the Motion: Nil.

ATTACHMENTS

1. Contract Extensions Half Yearly Report 1 July 2024 to 31 December 2024 [8.6.1 - 1 page]

8.7 CONFIDENTIAL - CORPORATE CREDIT CARD STATEMENTS JULY 2024 TO SEPTEMBER 2024 (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 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 Raftis that the Audit and Risk Committee NOTES the copies of corporate credit card statements for July 2024 to September 2024.

The Motion was Put and

CARRIED (4/1)

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

Against the Motion: Cr O'Neill.

8.8 CONFIDENTIAL - CORPORATE CREDIT CARD STATEMENTS OCTOBER 2024 TO DECEMBER 2024 (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 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 Hutton, SECONDED Cr Vinciullo that the Audit and Risk Committee NOTES the copies of corporate credit card statements for October 2024 to December 2024.

The Motion was Put and

CARRIED (4/1)

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

Against the Motion: Cr O'Neill.

9 URGENT BUSINESS

Nil.

10 MOTIONS OF WHICH PREVIOUS NOTICE HAS BEEN GIVEN

Nil.

11 REQUESTS FOR REPORTS FOR FUTURE CONSIDERATION

Cr O'Neill requested a report on the costs of having the robot, including security and transport.

Cr Raftis requested a report which outlines the agreements between the City and clubs and associations for the provision of facilities or services.

Cr Raftis requested a report which outlines a summary of the sum spent with WALGA preferred suppliers over the past two financial years, including the rebate paid to WALGA.

12 CLOSURE

There being no further business, the Presiding Member declared the meeting closed at 7.05pm the following Committee Members being present at that time:

CR JOHN RAFTIS
CR LEWIS HUTTON
CR ROHAN O'NEILL
CR REBECCA PIZZEY
CR PHILLIP VINCIULLO

24 FEBRUARY 2025 - AUDIT AND RISK COMMITTEE ATTACHMENTS

| | |
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COMPLIANCE AUDIT RETURN | 2024

| COMMERCIAL ENTERPRISES BY LOCAL GOVERNMENTS | | | |
|---|-------------------------------------|--|---|
| No. | Reference | Question | 2024 |
| 1 | s3.59(2)(a) F&G Regs 7,9,10 | Has the local government prepared a business plan for each major trading undertaking that was not exempt in [the relevant year]? | Yes At its meeting held on 22 October 2024 (CJ279-10/24 refers) for the proposed future disposal of a café/restaurant facility in Burns Beach through a lease arrangement to a commercial operator. |
| 2 | s3.59(2)(b) F&G Regs 7,8A, 8, 10 | Has the local government prepared a business plan for each major land transaction that was not exempt in [the relevant year]? | N/A |
| 3 | s3.59(2)(c) F&G Regs 7,8A, 8,10 | Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in [the relevant year]? | N/A |
| 4 | s3.59(4) | Has the local government complied with public notice and publishing requirements for each proposal to commence a major trading undertaking or enter into a major land transaction or a land transaction that is preparatory to a major land transaction for [the relevant year]? | N/A |
| 5 | s3.59(5) | During [the relevant year], did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority? | N/A |

| DELEGATION OF POWER/DUTY | | | |
|--------------------------|--------------------------------|--|---|
| No. | Reference | Question | 2024 |
| 1 | s5.16 | Were all delegations to committees resolved by absolute majority? | N/A No delegations were made to Committees |
| 2 | | Were all delegations to committees in writing? | N/A No delegations were made to Committees |
| 3 | s5.17 | Were all delegations to committees within the limits specified in section 5.17? | N/A No delegations were made to Committees |
| 4 | s5.18 | Were all delegations to committees recorded in a register of delegations? | N/A No delegations were made to Committees |
| 5 | | Has council reviewed delegations to its committees in the [the relevant] financial year? | N/A No delegations were made to Committees |
| 6 | s5.42(1) & s5.43 Admin Reg 18G | Did the powers and duties delegated to the CEO exclude those listed in section 5.43 of the Act? | Yes All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 28 May 2024 (CJ118-05/24 refers). |
| 7 | s5.42(1) | Were all delegations to the CEO resolved by an absolute majority? | Yes All delegations to the CEO were made by an Absolute Majority. Council reviewed its delegations at its meeting held on 28 May 2024 (CJ118-05/24 refers). |
| 8 | s5.42(2) | Were all delegations to the CEO in writing? | Yes All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 28 May 2024 (CJ118-05/24 refers). |
| 9 | s5.44(2) | Were all delegations by the CEO to any employee in writing? | Yes The CEO reviewed delegations to employees on 6 March 2024. All delegations by the CEO to other employees were made in writing. |
| 10 | s5.16(3)(b) & s5.45(1)(b) | Were all decisions by the council to amend or revoke a delegation made by absolute majority? | Yes Council reviewed its delegations at its meeting held on 28 May 2024 (CJ118-05/24 refers). All delegations, including amended or revoked delegations, were made by an Absolute Majority. |
| 11 | s5.46(1) | Has the CEO kept a register of all delegations made under Division 4 of the Act to the CEO and to employees? | Yes A register of Delegation of Authority is kept and made publicly available on the City's website. |
| 12 | s5.46(2) | Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the [the relevant] financial year? | Yes Council reviewed its delegations within the financial year at its meeting held on 28 May 2024 (CJ118-05/24 refers). The CEO reviewed his delegations on 6 March 2024. |
| 13 | s5.46(3) Admin Reg 19 | Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record in accordance with Admin Reg 19? | Yes There is a requirement for all persons exercising a delegated power or duty to record in writing all decisions made or actions taken under delegated authority and retain on the corporate record keeping system. |

| DISCLOSURE OF INTEREST | | | |
|------------------------|---------------------------------------|--|--|
| No. | Reference | Question | 2024 |
| 1 | s5.67 | Where a council member disclosed an interest in a matter and did not have participation approval under sections 5.68 or 5.69, did the council member ensure that they did not remain present to participate in discussion or decision making relating to the matter? | Yes All members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation approvals granted under s5.68. |
| 2 | s5.68(2) & s5.69(5) Admin Reg 21A | Were all decisions regarding participation approval, including the extent of participation allowed and, where relevant, the information required by Admin Reg 21A, recorded in the minutes of the relevant council or committee meeting? | Yes All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting. |
| 3 | s5.73 | Were disclosures under section sections 5.65, 5.70 or 5.71A(3) recorded in the minutes of the meeting at which the disclosures were made? | Yes All disclosures are recorded in the minutes of the relevant meeting. |
| 4 | s5.75 Admin Reg 22, Form 2 | Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day? | Yes All primary returns were lodged within three months of the relevant persons start dates. |
| 5 | s5.76 Admin Reg 23, Form 3 | Was an annual return in the prescribed form lodged by all relevant persons by 31 August [the relevant year]? | No There were four items of non-compliance where an employee failed to lodge their Annual Return by 31 August 2024. The matter has been investigated and reported to the Corruption and Crime Commission. Pursuant to section 33(1)(d) of the Corruption, Crime and Misconduct Act 2003, the Commission decided to take no action. |
| 6 | s5.77 | On receipt of a primary or annual return, did the CEO, or the mayor/president, give written acknowledgment of having received the return? | Yes The receipt of all primary and annual returns was formally acknowledged in writing. |
| 7 | s5.88(1) & (2)(a) | Did the CEO keep a register of financial interests which contained the returns lodged under sections 5.75 and 5.76? | Yes A Register of Financial Interests is maintained by the City and published on the City's website. |
| 8 | s5.88(1) & (2)(b) Admin Reg 28 | Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70, 5.71 and 5.71A, in the form prescribed in Admin Reg 28? | Yes A Register of Financial Interests is maintained by the City and published on the City's website. |
| 9 | s5.88(3) | When a person ceased to be a person required to lodge a return under sections 5.75 and 5.76, did the CEO remove from the register all returns relating to that person? | Yes All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person. |
| 10 | s5.88(4) | Have all returns removed from the register in accordance with section 5.88(3) been kept for a period of at least five years after the person who lodged the return(s) ceased to be a person required to lodge a return? | Yes All returns removed from the Register are retained for a further five years in a separate register. |
| 11 | s5.89A(1), (2) & (3) Admin Reg 28A | Did the CEO keep a register of gifts which contained a record of disclosures made under sections 5.87A and 5.87B, in the form prescribed in Admin Reg 28A? | Yes The gifts register is maintained in the form required by the Act. |
| 12 | s5.89A(5) & (5A) | Did the CEO publish an up-to-date version of the gift register on the local government's website? | Yes The gifts register is updated and published to the City's website on a regular basis. |
| 13 | s5.89A(6) | When a person ceases to be a person who is required to make a disclosure under section 5.87A or 5.87B, did the CEO remove from the register all records relating to that person? | Yes |
| 14 | s5.89A(7) | Have copies of all records removed from the register under section 5.89A(6) been kept for a period of at least five years after the person ceases to be a person required to make a disclosure? | Yes |
| 15 | s5.70(2) & (3) | Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report? | Yes All disclosures of employees are recorded in the minutes of the relevant meeting. |

| DISCLOSURE OF INTEREST | | | |
|------------------------|-----------------------|---|--|
| No. | Reference | Question | 2024 |
| 16 | s5.71A & s5.71B(5) | Where council applied to the Minister to allow the CEO to provide advice or a report to which a disclosure under s5.71A(1) relates, did the application include details of the nature of the interest disclosed and any other information required by the Minister for the purposes of the application? | N/A The Council did not apply to the Minister to allow the CEO to provide advice or a report to which a disclosure had been made. |
| 17 | s5.71B(6) & s5.71B(7) | Was any decision made by the Minister under subsection 5.71B(6) recorded in the minutes of the council meeting at which the decision was considered? | N/A The Council did not apply to the Minister to allow the CEO to provide advice or a report to which a disclosure had been made. |
| 18 | s5.104(1) | Did the local government prepare and adopt, by absolute majority, a code of conduct to be observed by council members, committee members and candidates within 3 months of the prescribed model code of conduct coming into operation (3 February 2021)? | Yes The Code of Conduct for Council Members, Committee Members and Candidates was adopted by Council at its meeting held on 18 May 2021 (CJ071-05/21 refers). |
| 19 | s5.104(3) & (4) | Did the local government adopt additional requirements in addition to the model code of conduct? If yes, does it comply with section 5.104(3) and (4)? | No |
| 20 | s5.104(7) | Did the CEO publish an up-to-date version of the adopted code of conduct on the local government's website? | Yes The Code of Conduct for Council Members, Committee Members and Candidates was adopted by Council at its meeting held on 18 May 2021 (CJ071-05/21 refers). An up-to-date version is published to the City's website. |
| 21 | s5.51A(1) & (3) | Did the CEO prepare, and implement and publish an up-to-date version on the local government's website, a code of conduct to be observed by employees of the local government? | Yes A Code of Conduct for Employees was prepared and endorsed by the CEO at the Executive Leadership Team meeting held on 14 June 2021, and updated in May 2022. An up-to-date version is published on the City's website. |

| DISPOSAL OF PROPERTY | | | |
|----------------------|-----------|---|---|
| No. | Reference | Question | 2024 |
| 1 | s3.58(3) | Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) (unless section 3.58(5) applies)? | Yes The City disposed of land by lease through entering a commercial lease for a portion of 6 Lawley Court, Joondalup which commenced 1 January 2024. |
| 2 | s3.58(4) | Where the local government disposed of property under section 3.58(3), did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property? | Yes Public notice for the above disposal of land closed 14 December 2023. |

| ELECTIONS | | | |
|-----------|-------------------------|---|---|
| No. | Reference | Question | 2024 |
| 1 | Elect Regs 30G(1) & (2) | Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the forms relating to each candidate? | Yes The register and gift declaration forms are maintained by the Manager Governance. |
| 2 | Elect Regs 30G(3) & (4) | Did the CEO remove any disclosure of gifts forms relating to an unsuccessful candidate, or a successful candidate that completed their term of office, from the electoral gift register, and retain those forms separately for a period of at least two years? | Yes All electoral gift forms are retained in the City's Record Keeping System and disposed of in accordance with legislative requirements. |
| 3 | Elect Regs 30G(5) & (6) | Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with Elect Reg 30G (5) & (6)? | Yes An up-to-date version of the electoral gift register is available on the City's website. Note: there were no gift declarations in relation to the 2023 Local Government Election. |

| FINANCE | | | |
|---------|-----------------------|---|--|
| No. | Reference | Question | 2024 |
| 1 | s7.1A | Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Act? | Yes At its meeting held on 6 November 2023 (CJ213-11/23 refers) Council, by an Absolute Majority, established the Audit and Risk Committee and appointed members and deputy members to that Committee. |
| 2 | s7.1B | Where the council delegated to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority? | N/A No delegations were made to the Audit and Risk Committee. |
| 3 | s7.9(1) | Was the auditor's report for the financial year ended 30 June [relevant year] received by the local government by 31 December [relevant year]? | Yes Received on 19 November 2024. |
| 4 | s7.12A(3) | Where the local government determined that matters raised in the auditor's report prepared under s7.9(1) of the Act required action to be taken, did the local government ensure that appropriate action was undertaken in respect of those matters? | N/A No such matters raised. |
| 5 | s7.12A(4)(a) & (4)(b) | Where matters identified as significant were reported in the auditor's report, did the local government prepare a report that stated what action the local government had taken or intended to take with respect to each of those matters? Was a copy of the report given to the Minister within three months of the audit report being received by the local government? | N/A No such matters raised. |
| 6 | s7.12A(5) | Within 14 days after the local government gave a report to the Minister under s7.12A(4)(b), did the CEO publish a copy of the report on the local government's official website? | N/A |
| 7 | Audit Reg 10(1) | Was the auditor's report for the financial year ending 30 June received by the local government within 30 days of completion of the audit? | Yes |

| INTEGRATED PLANNING AND REPORTING | | | |
|-----------------------------------|-------------------------|---|--|
| No. | Reference | Question | 2024 |
| 1 | Admin Reg 19C | Has the local government adopted by absolute majority a strategic community plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section? | Yes The Strategic Community Plan (Joondalup 2032) was adopted by Council on 28 June 2022 (CJ093-06/22 refers). |
| 2 | Admin Reg 19DA(1) & (4) | Has the local government adopted by absolute majority a corporate business plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section? | Yes The City's Corporate Business Plan 2024-2028 was adopted by Council on 25 June 2024 (CJ147-06/24 refers). |
| 3 | Admin Reg 19DA(2) & (3) | Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)? | Yes |

| LOCAL GOVERNMENT EMPLOYEES | | | |
|----------------------------|--------------------------------------|--|---|
| No. | Reference | Question | 2024 |
| 1 | s5.36(4) & s5.37(3) Admin Reg 18A | Were all CEO and/or senior employee vacancies advertised in accordance with Admin Reg 18A? | N/A |
| 2 | Admin Reg 18E | Was all information provided in applications for the position of CEO true and accurate? | N/A |
| 3 | Admin Reg 18F | Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position under section 5.36(4)? | N/A |
| 4 | s5.37(2) | Did the CEO inform council of each proposal to employ or dismiss senior employee? | Yes Council was informed at its meeting held on 19 September 2024 (CJ260-09/24 refers) that the employment contract of the Director Corporate Services was being renewed for a further five year period from 3 February 2025. |
| 5 | s5.37(2) | Where council rejected a CEO's recommendation to employ or dismiss a senior employee, did it inform the CEO of the reasons for doing so? | N/A |

| OFFICIAL CONDUCT | | | |
|------------------|-----------------|---|------|
| No. | Reference | Question | 2024 |
| 1 | s5.120 | Has the local government designated a senior employee as defined by section 5.37 to be its complaints officer? | Yes |
| 2 | s5.121(1) & (2) | Has the complaints officer for the local government maintained a register of complaints which records all complaints that resulted in a finding under section 5.110(2)(a)? Does the complaints register include all information required by section 5.121(2)? | Yes |
| 3 | s5.121(2) | Does the complaints register include all information required by section 5.121 (2)? | Yes |
| 4 | s5.121(3) | Has the CEO published an up-to-date version of the register of the complaints on the local government's official website? | Yes |

| OPTIONAL QUESTIONS / OTHER | | | |
|----------------------------|----------------------------------|---|---|
| No. | Reference | Question | 2024 |
| 1 | Financial Management Reg 5(2)(c) | Did the CEO review the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with Financial Management Reg 5(2)(c) within the three years prior to 31 December [the relevant year]? If yes, please provide the date of council's resolution to accept the report. | N/A |
| 2 | Audit Reg 17 | Did the CEO review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Audit Reg 17 within the three years prior to 31 December [the relevant year]? If yes, please provide date of council's resolution to accept the report. | N/A |
| 3 | s5.87C | Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C? | Yes |
| 4 | s5.90A(2) & (5) | Did the local government prepare, adopt by absolute majority and publish an up-to-date version on the local government's website, a policy dealing with the attendance of council members and the CEO at events? | Yes An Attendance at Events Policy was adopted by Council at its meeting held on 19 May 2020 (CJ067-05/20 refers). |
| 5 | s5.96A(1), (2), (3) & (4) | Did the CEO publish information on the local government's website in accordance with sections 5.96A(1), (2), (3), and (4)? | Yes All information is on the City's website that is required to be published. |
| 6 | s5.128(1) | Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members? | Yes The Council has adopted an Elected Members' Entitlements Policy, which contains matters in relation to the continuing professional development of elected members. The Policy was last reviewed by Council at its meeting held on 26 March 2024 (CJ058-03/24 refers) and adopted by an Absolute Majority. |
| 7 | s5.127 | Did the local government prepare a report on the training completed by council members in the [the relevant year] and publish it on the local government's official website by 31 July each year? | Yes Council received a report at its meeting held on 23 July 2024 (CJ177-07/24 refers). The report is available on the City's website and was published before 31 July 2024. |
| 8 | s6.4(3) | By 30 September [the relevant year], did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June [the relevant year]? | Yes Submitted to the Office of the Auditor General on 30 September 2024. |
| 9 | s.6.2(3) | When adopting the annual budget, did the local government take into account all its expenditure, revenue and income? | Yes |

| TENDERS FOR PROVIDING GOODS AND SERVICES | | | |
|--|--|---|---|
| No. | Reference | Question | 2024 |
| 1 | F&G Reg 11A(1) & (3) | Did the local government comply with its current purchasing policy [adopted under F&G Reg 11A(1) & (3)] in relation to the supply of goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less? | Yes |
| 2 | s3.57 F&G Reg 11 | Subject to Functions and General Reg 11(2), did the local government invite tenders for all contracts for the supply of goods or services where the consideration under the contract was, or was expected to be, worth more than the consideration stated in F&G Reg 11(1)? | Yes |
| 3 | F&G Regs 11(1), 12(2), 13, & 14(1), (3), and (4) | When regulations 11(1), 12(2) or 13 required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with Functions and General Reg 14(3) and (4)? | Yes |
| 4 | F&G Reg 12 | Did the local government comply with Functions and General Reg 12 when deciding to enter into multiple contracts rather than a single contract? | Yes |
| 5 | F&G Reg 14(5) | If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer notice of the variation? | Yes |
| 6 | F&G Regs 15 & 16 | Did the local government's procedure for receiving and opening tenders comply with the requirements of Functions and General Regs 15 and 16? | Yes |
| 7 | F&G Reg 17 | Did the information recorded in the local government's tender register comply with the requirements of Functions and General Reg 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website? | Yes |
| 8 | F&G Reg 18(1) | Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender? | N/A The Tenderlink electronic submission system automatically declines any attempts to submit tenders after the cut-off time specified in the tender. |
| 9 | F&G Reg 18(4) | Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept? | Yes |
| 10 | F&G Reg 19 | Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted? | Yes |
| 11 | F&G Regs 21 & 22 | Did the local government's advertising and expression of interest processes comply with the requirements of Functions and General Regs 21 and 22? | Yes |
| 12 | F&G Reg 23(1) & (2) | Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice? | N/A The Tenderlink electronic submission system automatically declines any attempts to submit tenders after the cut-off time specified in the tender. |
| 13 | F&G Reg 23(3) & (4) | Were all expressions of interest that were not rejected under Functions and General Reg 23(1) & (2) assessed by the local government? Did the CEO list each person as an acceptable tenderer? | Yes |
| 14 | F&G Reg 24 | Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with Functions and General Reg 24? | Yes |
| 15 | F&G Regs 24AD(2) & (4) and 24AE | Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with Functions and General Reg 24AD(4) and 24AE? | Yes |

| TENDERS FOR PROVIDING GOODS AND SERVICES | | | |
|--|--------------------|---|---|
| No. | Reference | Question | 2024 |
| 16 | F&G Reg 24AD(6) | If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application notice of the variation? | Yes |
| 17 | F&G Reg 24AF | Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of Functions and General Reg 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application? | Yes |
| 18 | F&G Reg 24AG | Did the information recorded in the local government's tender register about panels of pre-qualified suppliers comply with the requirements of Functions and General Reg 24AG? | Yes |
| 19 | F&G Reg 24AH(1) | Did the local government reject any applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time, specified in the invitation for applications? | N/A The Tenderlink electronic submission system automatically declines any attempts to submit tenders after the cut-off time specified in the tender. |
| 20 | F&G Reg 24AH(3) | Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept? | Yes |
| 21 | F&G Reg 24AI | Did the CEO send each applicant written notice advising them of the outcome of their application? | Yes |
| 22 | F&G Regs 24E & 24F | Where the local government gave regional price preference, did the local government comply with the requirements of Functions and General Regs 24E and 24F? | N/A |



COMPLIANCE AUDIT RETURN | 2021 to 2019

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

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

| DELEGATION OF POWER/DUTY | | | | |
|---------------------------|--|--|--|---|
| Reference | Question | 2021 | 2020 | 2019 |
| s5.42(1) | Were all delegations to the CEO resolved by an absolute majority? | Yes All delegations to the CEO were made by Absolute Majority. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers). | Yes All delegations to the CEO were made by Absolute Majority. Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers). | Yes All delegations to the CEO were made by Absolute Majority. Council reviewed its delegations at its meeting held on 25 June 2019 (CJ078-06/19 refers). |
| s5.42(2) | Were all delegations to the CEO in writing? | Yes All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers). | Yes All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers). | Yes All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 25 June 2019 (CJ078-06/19 refers). |
| s5.44(2) | Were all delegations by the CEO to any employee in writing? | Yes The CEO reviewed delegations to employees on 10 May 2021. All delegations by the CEO to other employees were made in writing. | Yes The CEO reviewed delegations to employees on 21 May 2020 as retained in the City's record keeping system. All delegations by the CEO to other employees were made in writing. | Yes The CEO reviewed delegations to employees on 22 July 2019. All delegations by the CEO to other employees were made in writing. |
| s5.16(3)(b) & s5.45(1)(b) | Were all decisions by the council to amend or revoke a delegation made by absolute majority? | Yes Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers). All delegations, including the annual review that amended or revoked a previous delegation were made by Absolute Majority. | Yes Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers). All delegations, including the annual review, that amended or revoked a previous delegation were made by Absolute Majority. | Yes |
| s5.46(1) | Has the CEO kept a register of all delegations made under Division 4 of the Act to the CEO and to employees? | Yes A register of Delegation of Authority is kept and made publicly available on the City's website. | Yes A Register of Delegation of Authority is kept and made publicly available on the City's website. | Yes A Register of Delegation of Authority is kept and made publicly available on the City's website. |
| s5.46(2) | Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the [the relevant] financial year? | Yes All delegations were reviewed by both Council and the CEO at least once during the 2020/2021 financial year. The CEO reviewed his delegations on 10 May 2021. Council reviewed its delegations at its meeting held on 15 June 2021 (CJ079-06/21 refers). | Yes All delegations were reviewed by both Council and the CEO at least once during the 2019/2020 financial year. The CEO reviewed his delegations on the 21 May 2020 as retained in the City's record keeping system. Council reviewed its delegations at its meeting held on 23 June 2020 (CJ079-06/20 refers). | Yes All delegations were reviewed by both Council and the CEO at least once during the 2018/2019 financial year. The CEO reviewed his delegations on the 22 July 2019. Council reviewed its delegations at its meeting held on 25 June 2019 (CJ078-06/19 refers). |
| s5.46(3) Admin Reg 19 | Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record in accordance with Admin Reg 19? | Yes All decisions made or actions taken under delegated authority are recorded in writing and retained on the corporate record keeping systems. | Yes All decisions made or actions taken under delegated authority are recorded in writing and retained in the City's record keeping system. | Yes All decisions made or actions taken under delegated authority are recorded in writing and retained on the corporate record keeping systems. |

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

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

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

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

| DISPOSAL OF PROPERTY | | | | |
|----------------------|---|------|--|---|
| Reference | Question | 2021 | 2020 | 2019 |
| s3.58(3) | Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) (unless section 3.58(5) applies)? | N/A | Yes The City advertised in the Joondalup Weekender newspaper on Thursday 26 August 2020 for the disposal of property for the Joondalup Reception Centre located at 102 Boas Avenue, Joondalup. Concerning the private treaty land disposal of Lot 803 (15) Burlos Court Joondalup public notice was served for a 15-day period from 26 March 2020. | Yes Public notice of a private treaty disposition concerning Lot 2 (20) Kanangra Crescent, Greenwood was included in the West Australian on 30 March 2019 inviting submissions until 15 April 2019. |
| s3.58(4) | Where the local government disposed of property under section 3.58(3), did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property? | N/A | Yes For the Joondalup Reception Centre located at 102 Boas Avenue Joondalup the City provided details within the advertisement of concerned parties, the permitted purpose and proposed term of the lease, market valuation amount and date and proposed rent to be received. For Lot 803 (15) Burlos Court Joondalup all the required details were included in the public notice. | Yes All the required details were included in the public notice. |

| ELECTIONS | | | | |
|-------------------------|---|--|--|---|
| Reference | Question | 2021 | 2020 | 2019 |
| Elect Regs 30G(1) & (2) | Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the forms relating to each candidate? | Yes The register and gift declaration forms are maintained by the Manager Governance. | Yes The register and gift declaration forms are maintained by the Manager Governance. | Yes An Electoral Gift Register is maintained in the City's record management system. |
| Elect Regs 30G(3) & (4) | Did the CEO remove any disclosure of gifts forms relating to an unsuccessful candidate, or a successful candidate that completed their term of office, from the electoral gift register, and retain those forms separately for a period of at least two years? | Yes All electoral gift forms are retained in the City's Record Keeping System and disposed of in accordance with legislative requirements. | Yes All electoral gift forms are retained in the City's record keeping system and disposed of in accordance with legislative requirements. | Yes Disclosure of Gift forms relating to unsuccessful candidates have been removed from the Electoral Gift Register and retained for a further 2 years. |
| Elect Regs 30G(5) & (6) | Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with Elect Reg 30G (5) & (6)? | Yes The electoral gift register is available on the City's website. | Yes The electoral gift register is available on the City's website. | |

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

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

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

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

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

| OPTIONAL QUESTIONS / OTHER | | | | |
|----------------------------------|---|---|---|--|
| Reference | Question | 2021 | 2020 | 2019 |
| Financial Management Reg 5(2)(c) | Did the CEO review the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with Financial Management Reg 5(2)(c) within the three years prior to 31 December [the relevant year]? If yes, please provide the date of council's resolution to accept the report. | N/A | Yes Yes at its meeting held on 17 March 2020 (CJ036-03/20 refers). | Yes Review has been completed by consultancy firm Deloitte and will be reported to the Audit and Risk Committee and then Council in March 2020. |
| Audit Reg 17 | Did the CEO review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Audit Reg 17 within the three years prior to 31 December [the relevant year]? If yes, please provide date of council's resolution to accept the report. | N/A | Yes Yes at its meeting held on 17 March 2020 (CJ035-03/20 refers). | Yes Review has been completed by consultancy firm Deloitte and will be reported to the Audit and Risk Committee and then Council in March 2020. |
| Financial Management Reg 5A. | Did the local government provide AASB 124 related party information in its annual report(s) tabled at an electors meeting(s) during calendar year 2019? | | | Yes In accordance with AASB 124 related party information was reported within the Annual Financial Statements that formed part of the annual report tabled at the Electors Meeting in December 2019. |
| s5.87C(2) | Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift? | | Yes | |
| | Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C? | Yes | Yes | |
| s5.90A(2) & (5) | Did the local government prepare, adopt by absolute majority and publish an up-to-date version on the local government's website, a policy dealing with the attendance of council members and the CEO at events? | Yes The Attendance at Events Policy was adopted by Council on 19 May 2020 (CJ067-05/20 refers). | Yes The Attendance at Events Policy was adopted by Council at its meeting held on 19 May 2020 (CJ067-05/20 refers). The Attendance at Events Policy was published on the City's website after its endorsement on the 19 May 2020. | |
| s5.96A(1), (2), (3) & (4) | Did the CEO publish information on the local government's website in accordance with sections 5.96A(1), (2), (3), and (4)? | Yes All information is on the City's website that is required to be published. The City is working towards the consolidation of its Local Laws on the City's website. | Yes All information is on the City's website that is required to be published. | |
| s5.128(1) | Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members? | Yes The City's Elected Members' Entitlements Policy contains matters in relation to the continuing professional development of elected members. | No The City's current Elected Members' Entitlements Policy contains policy matters in relation to the continuing professional development of elected members. This policy was in place well before section 5.128(1) came into effect in 2019. Council in accordance with this provision will be reviewing this policy prior to the 2021 local government elections. | |

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

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

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

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



COMPLIANCE AUDIT RETURN | 2024 to 2022

| COMMERCIAL ENTERPRISES BY LOCAL GOVERNMENTS | | | | |
|---|--|---|------|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s3.59(2)(a) F&G Regs 7,9,10 | Has the local government prepared a business plan for each major trading undertaking that was not exempt in [the relevant year]? | Yes At its meeting held on 22 October 2024 (CJ279-10/24 refers) for the proposed future disposal of a café/restaurant facility in Burns Beach through a lease arrangement to a commercial operator. | N/A | Yes |
| s3.59(2)(b) F&G Regs 7,8A, 8, 10 | Has the local government prepared a business plan for each major land transaction that was not exempt in [the relevant year]? | N/A | N/A | N/A |
| s3.59(2)(c) F&G Regs 7,8A, 8,10 | Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in [the relevant year]? | N/A | N/A | N/A |
| s3.59(4) | Has the local government complied with public notice and publishing requirements for each proposal to commence a major trading undertaking or enter into a major land transaction or a land transaction that is preparatory to a major land transaction for [the relevant year]? | N/A | N/A | N/A |
| s3.59(5) | During [the relevant year], did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority? | N/A | N/A | N/A |

| DELEGATION OF POWER/DUTY | | | | |
|-----------------------------------|---|--|---|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s5.16 | Were all delegations to committees resolved by absolute majority? | N/A No delegations were made to Committees | N/A No delegations were made to Committees | N/A |
| | Were all delegations to committees in writing? | N/A No delegations were made to Committees | N/A No delegations were made to Committees | N/A |
| s5.17 | Were all delegations to committees within the limits specified in section 5.17? | N/A No delegations were made to Committees | N/A No delegations were made to Committees | N/A |
| s5.18 | Were all delegations to committees recorded in a register of delegations? | N/A No delegations were made to Committees | N/A No delegations were made to Committees | N/A |
| | Has council reviewed delegations to its committees in the [the relevant] financial year? | N/A No delegations were made to Committees | N/A No delegations were made to Committees | N/A |
| s5.42(1) & s5.43 Admin Reg 18G | Did the powers and duties delegated to the CEO exclude those listed in section 5.43 of the Act? | Yes All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 28 May 2024 (CJ118-05/24 refers). | Yes All delegations to the CEO were within the scope of the Act. Council reviewed its delegations at its meeting held on 27 June 2023 (CJ096-06/23 refers). | Yes |

| DELEGATION OF POWER/DUTY | | | | |
|---------------------------|--|---|--|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s5.42(1) | Were all delegations to the CEO resolved by an absolute majority? | Yes All delegations to the CEO were made by an Absolute Majority. Council reviewed its delegations at its meeting held on 28 May 2024 (CJ118-05/24 refers). | Yes All delegations to the CEO were made by an Absolute Majority. Council reviewed its delegations at its meeting held on 27 June 2023 (CJ096-06/23 refers). | Yes |
| s5.42(2) | Were all delegations to the CEO in writing? | Yes All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 28 May 2024 (CJ118-05/24 refers). | Yes All delegations to the CEO were made in writing. Council reviewed its delegations at its meeting held on 27 June 2023 (CJ096-06/23 refers). | Yes |
| s5.44(2) | Were all delegations by the CEO to any employee in writing? | Yes The CEO reviewed delegations to employees on 6 March 2024. All delegations by the CEO to other employees were made in writing. | Yes The CEO reviewed delegations to employees on 29 August 2023. All delegations by the CEO to other employees were made in writing. | Yes |
| s5.16(3)(b) & s5.45(1)(b) | Were all decisions by the council to amend or revoke a delegation made by absolute majority? | Yes Council reviewed its delegations at its meeting held on 28 May 2024 (CJ118-05/24 refers). All delegations, including amended or revoked delegations, were made by an Absolute Majority. | Yes Council reviewed its delegations at its meeting held on 27 June 2023 (CJ096-06/23 refers). All delegations, including the annual review that amended or revoked a previous delegation were made by an Absolute Majority. | Yes |
| s5.46(1) | Has the CEO kept a register of all delegations made under Division 4 of the Act to the CEO and to employees? | Yes A register of Delegation of Authority is kept and made publicly available on the City's website. | Yes A register of Delegation of Authority is kept and made publicly available on the City's website. | Yes |
| s5.46(2) | Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the [the relevant] financial year? | Yes Council reviewed its delegations within the financial year at its meeting held on 28 May 2024 (CJ118-05/24 refers). The CEO reviewed his delegations on 6 March 2024. | No Council reviewed its delegations within the financial year at its meeting held on 27 June 2023 (CJ096-06/23 refers). The CEO reviewed his delegations on 29 August 2023. The reason being, there was a major review undertaken of delegations and there were significant changes. The CEO conducted a review after the Council had adopted its changes. | Yes |
| s5.46(3) Admin Reg 19 | Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record in accordance with Admin Reg 19? | Yes There is a requirement for all persons exercising a delegated power or duty to record in writing all decisions made or actions taken under delegated authority and retain on the corporate record keeping system. | Yes There is a requirement for all persons exercising a delegated power or duty to record in writing all decisions made or actions taken under delegated authority and retain on the corporate record keeping system. | Yes |

| DISCLOSURE OF INTEREST | | | | |
|--------------------------------------|---|--|--|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s5.67 | Where a council member disclosed an interest in a matter and did not have participation approval under sections 5.68 or 5.69, did the council member ensure that they did not remain present to participate in discussion or decision making relating to the matter? | Yes All members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation approvals granted under s5.68. | Yes All members who made a disclosure under section 5.65 did not remain in the room to participate in any discussion or voting, not including participation approvals granted under s5.68. | Yes |
| | If a member disclosed an interest, did he/she ensure that they did not remain present to participate in any discussion or decision-making procedure relating to the matter in which the interest was disclosed (not including participation approvals granted under s5.68)? | | | |
| s5.68(2) & s5.69(5) Admin Reg 21A | Were all decisions regarding participation approval, including the extent of participation allowed and, where relevant, the information required by Admin Reg 21A, recorded in the minutes of the relevant council or committee meeting? | Yes All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting. | Yes All disclosures and any decision to permit a member to participate and the extent of participation were recorded in the minutes of the relevant meeting. | Yes |
| | Were all decisions made under section 5.68(1), and the extent of participation allowed, recorded in the minutes of Council and Committee meetings? | | | |
| s5.73 | Were disclosures under section sections 5.65, 5.70 or 5.71A(3) recorded in the minutes of the meeting at which the disclosures were made? | Yes All disclosures are recorded in the minutes of the relevant meeting. | Yes All disclosures are recorded in the minutes of the relevant meeting. | Yes |
| | Where the CEO had an interest relating to a gift under section 5.71A(1), was written notice given to the Council? | | | |
| | Where the CEO had an interest relating to a gift in a matter in respect of a report another employee is providing advice on under section 5.71A (3), was the nature of interest disclosed when the advice or report was provided? | | | |
| s5.75 Admin Reg 22, Form 2 | Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day? | Yes All primary returns were lodged within three months of the relevant persons start dates. | Yes All primary returns were lodged within three months of the relevant persons start date. | Yes |

| DISCLOSURE OF INTEREST | | | | |
|--------------------------------|--|--|--|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s5.75(1) Admin Reg 22 Form 2 | Was a primary return lodged by all newly designated employees within three months of their start day? | | | |
| s5.76(1) Admin Reg 23 Form 3 | Was an annual return lodged by all continuing elected members by 31 August [the relevant year]? | | | |
| s5.76(1) Admin Reg 23 Form 3 | Was an annual return lodged by all designated employees by 31 August [the relevant year]? | | | |
| s5.76 Admin Reg 23, Form 3 | Was an annual return in the prescribed form lodged by all relevant persons by 31 August [the relevant year]? | No There were four items of non-compliance where an employee failed to lodge their Annual Return by 31 August 2024. The matter has been investigated and reported to the Corruption and Crime Commission. Pursuant to section 33(1)(d) of the Corruption, Crime and Misconduct Act 2003, the Commission decided to take no action. | No There were four items of non-compliance where an employee failed to lodge their Annual Return by 31 August 2023. The matter has been investigated and reported to the Corruption and Crime Commission. Pursuant to section 33(1)(d) of the Corruption, Crime and Misconduct Act 2003, the Commission decided to take no action. | Yes |
| s5.77 | On receipt of a primary or annual return, did the CEO, or the mayor/president, give written acknowledgment of having received the return? | Yes The receipt of all primary and annual returns was formally acknowledged in writing. | Yes The receipt of all primary and annual returns was formally acknowledged in writing. | Yes |
| s5.88(1) & (2)(a) | Did the CEO keep a register of financial interests which contained the returns lodged under sections 5.75 and 5.76? | Yes A Register of Financial Interests is maintained by the City and published on the City's website. | Yes A Register of Financial Interests is maintained by the City and published on the City's website. | Yes |
| s5.88(1) & (2)(b) Admin Reg 28 | Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70, 5.71 and 5.71A, in the form prescribed in Admin Reg 28? | Yes A Register of Financial Interests is maintained by the City and published on the City's website. | Yes A Register of Financial Interests is maintained by the City and published on the City's website. | Yes |
| s5.89A Admin Reg 28A | Did the CEO keep a register of gifts which contained a record of disclosures made under section 5.71A, in the form prescribed in Administration Regulation 28A? | | | |

| DISCLOSURE OF INTEREST | | | | |
|--|--|--|--|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s5.88(3) | When a person ceased to be a person required to lodge a return under sections 5.75 and 5.76, did the CEO remove from the register all returns relating to that person? | Yes All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person. | Yes All returns of Elected Members and designated employees are removed from the Register when they cease to be a relevant person. | Yes |
| | Has the CEO removed all returns from the register when a person ceased to be a person required to lodge a return under section 5.75 or 5.76? | | | |
| s5.88(4) | Have all returns removed from the register in accordance with section 5.88(3) been kept for a period of at least five years after the person who lodged the return(s) ceased to be a person required to lodge a return? | Yes All returns removed from the Register are retained for a further five years in a separate register. | Yes All returns removed from the Register are retained for a further five years in a separate register. | Yes |
| | Have all returns lodged under section 5.75 or 5.76 and removed from the register, been kept for a period of at least five years, after the person who lodged the return ceased to be a council member or designated employee? | | | |
| s5.89A(1), (2) & (3) Admin Reg 28A | Did the CEO keep a register of gifts which contained a record of disclosures made under sections 5.87A and 5.87B, in the form prescribed in Admin Reg 28A? | Yes The gifts register is maintained in the form required by the Act. | Yes The gifts register is maintained in the form required by the Act. | Yes |
| s5.89A(5) & (5A) | Did the CEO publish an up-to-date version of the gift register on the local government's website? | Yes The gifts register is updated and published to the City's website on a regular basis. | Yes The gifts register is updated and published to the City's website on a regular basis. | Yes |
| s5.89A(6) | When a person ceases to be a person who is required to make a disclosure under section 5.87A or 5.87B, did the CEO remove from the register all records relating to that person? | Yes | Yes | Yes |
| s5.89A(7) | Have copies of all records removed from the register under section 5.89A(6) been kept for a period of at least five years after the person ceases to be a person required to make a disclosure? | Yes | Yes | Yes |
| Rules of Conduct Reg 11(1), (2) & (4) | Where a council member had an interest that could, or could reasonably be perceived to, adversely affect the impartiality of the person, did they disclose the interest in accordance with Rules of Conduct Reg 11(2)?* *Question not applicable after 2 Feb 2021 | | | |
| Rules of Conduct Reg 11(6) | Where a council member disclosed an interest under Rules of Conduct Reg 11(2) was the nature of the interest recorded in the minutes?* | | | |
| | *Question not applicable after 2 Feb 2021 | | | |
| s5.70(2) & (3) | Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report? | Yes All disclosures of employees are recorded in the minutes of the relevant meeting. | Yes All disclosures of employees are recorded in the minutes of the relevant meeting. | Yes |

| DISCLOSURE OF INTEREST | | | | |
|--|---|--|--|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s5.71A & s5.71B(5) | Where council applied to the Minister to allow the CEO to provide advice or a report to which a disclosure under s5.71A(1) relates, did the application include details of the nature of the interest disclosed and any other information required by the Minister for the purposes of the application? | N/A The Council did not apply to the Minister to allow the CEO to provide advice or a report to which a disclosure had been made. | N/A The Council did not apply to the Minister to allow the CEO to provide advice or a report to which a disclosure had been made. | N/A |
| s5.71B(6) & s5.71B(7) | Was any decision made by the Minister under subsection 5.71B(6) recorded in the minutes of the council meeting at which the decision was considered? | N/A The Council did not apply to the Minister to allow the CEO to provide advice or a report to which a disclosure had been made. | N/A The Council did not apply to the Minister to allow the CEO to provide advice or a report to which a disclosure had been made. | N/A |
| s5.103 Admin Regs 34B & 34C | Has the local government adopted a code of conduct in accordance with Admin Regs 34B and 34C to be observed by council members, committee members and employees?* | | | |
| | *Question not applicable after 2 Feb 2021 | | | |
| s5.103(3) Admin Reg 34B | Has the CEO kept a register of all notifiable gifts received by Council members and employees? | | | |
| s5.103 Admin Reg 34C & Rules of Conduct Reg 11 | Where an elected member or an employee disclosed an interest in a matter discussed at a Council or committee meeting where there was a reasonable belief that the impartiality of the person having the interest would be adversely affected, was it recorded in the minutes? | | | |
| Admin Reg 34B(5) | Has the CEO kept a register of notifiable gifts in accordance with Admin Reg 34B(5)?* | | | |
| | *Question not applicable after 2 Feb 2021 | | | |
| s5.104(1) | Did the local government prepare and adopt, by absolute majority, a code of conduct to be observed by council members, committee members and candidates within 3 months of the prescribed model code of conduct coming into operation (3 February 2021)? | Yes The Code of Conduct for Council Members, Committee Members and Candidates was adopted by Council at its meeting held on 18 May 2021 (CJ071-05/21 refers). | Yes The Code of Conduct for Council Members, Committee Members and Candidates was adopted by Council at its meeting held on 18 May 2021 (CJ071-05/21 refers). | No |
| s5.104(3) & (4) | Did the local government adopt additional requirements in addition to the model code of conduct? If yes, does it comply with section 5.104(3) and (4)? | No | No | No |
| s5.104(7) | Did the CEO publish an up-to-date version of the adopted code of conduct on the local government's website? | Yes The Code of Conduct for Council Members, Committee Members and Candidates was adopted by Council at its meeting held on 18 May 2021 (CJ071-05/21 refers). An up-to-date version is published to the City's website. | Yes The Code of Conduct for Council Members, Committee Members and Candidates was adopted by Council at its meeting held on 18 May 2021 (CJ071-05/21 refers). An up-to-date version is published to the City's website. | Yes |
| s5.51A(1) & (3) | Did the CEO prepare, and implement and publish an up-to-date version on the local government's website, a code of conduct to be observed by employees of the local government? | Yes A Code of Conduct for Employees was prepared and endorsed by the CEO at the Executive Leadership Team meeting held on 14 June 2021, and updated in May 2022. An up-to-date version is published on the City's website. | Yes A Code of Conduct for Employees was prepared and approved by the CEO at the Executive Leadership Team meeting held on 14 June 2021, and updated in May 2022. An up-to-date version is published on the City's website. | Yes |

| DISPOSAL OF PROPERTY | | | | |
|----------------------|---|---|---|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s3.58(3) | Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) (unless section 3.58(5) applies)? | Yes The City disposed of land by lease through entering a commercial lease for a portion of 6 Lawley Court, Joondalup which commenced 1 January 2024. | Yes The City advertised on 30 November 2023 for the disposal of property for a portion of land (302m2) containing public parking bays and pedestrian access areas at 6 Lawley Court, Joondalup. | N/A |
| s3.58(4) | Where the local government disposed of property under section 3.58(3), did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property? | Yes Public notice for the above disposal of land closed 14 December 2023. | Yes The City provided details within the advertisement of concerned parties, the permitted purpose and proposed term of the lease, market valuation amount and date and proposed rent to be received. | N/A |

| ELECTIONS | | | | |
|-------------------------|---|---|---|------|
| Reference | Question | 2024 | 2023 | 2022 |
| Elect Regs 30G(1) & (2) | Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the forms relating to each candidate? | Yes The register and gift declaration forms are maintained by the Manager Governance. | Yes The register and gift declaration forms are maintained by the Manager Governance. | Yes |
| Elect Regs 30G(3) & (4) | Did the CEO remove any disclosure of gifts forms relating to an unsuccessful candidate, or a successful candidate that completed their term of office, from the electoral gift register, and retain those forms separately for a period of at least two years? | Yes All electoral gift forms are retained in the City's Record Keeping System and disposed of in accordance with legislative requirements. | Yes All electoral gift forms are retained in the City's Record Keeping System and disposed of in accordance with legislative requirements. | Yes |
| Elect Regs 30G(5) & (6) | Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with Elect Reg 30G (5) & (6)? | Yes An up-to-date version of the electoral gift register is available on the City's website. Note: there were no gift declarations in relation to the 2023 Local Government Election. | Yes An up-to-date version of the electoral gift register is available on the City's website. Note: there were no gift declarations in relation to the 2023 Local Government Election. | Yes |

| FINANCE | | | | |
|-----------------------|---|--|--|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s7.1A | Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Act? | Yes At its meeting held on 6 November 2023 (CJ213-11/23 refers) Council, by an Absolute Majority, established the Audit and Risk Committee and appointed members and deputy members to that Committee. | Yes At its meeting held on 6 November 2023 (CJ213-11/23 refers) Council, by an Absolute Majority, established the Audit and Risk Committee and appointed members and deputy members to that Committee. | Yes |
| s7.1B | Where the council delegated to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority? | N/A No delegations were made to the Audit and Risk Committee. | N/A No delegations were made to the Audit and Risk Committee. | N/A |
| s7.3(1) & s7.6(3) | Was the person or persons appointed by the local government to be its auditor appointed by an absolute majority decision of council? | | | |
| s7.3(1) | Was the person(s) appointed by the local government under s7.3(1) to be its auditor, a registered company auditor? | | | |
| s7.3(3) | Was the person(s) appointed by the local government under s7.3(1) to be its auditor a registered company auditor or an approved auditor? | | | |
| s7.9(1) | Was the auditor's report for the financial year ended 30 June [relevant year] received by the local government by 31 December [relevant year]? | Yes Received on 19 November 2024. | Yes Received on 1 December 2023. | Yes |
| s7.12A(3) | Where the local government determined that matters raised in the auditor's report prepared under s7.9(1) of the Act required action to be taken, did the local government ensure that appropriate action was undertaken in respect of those matters? | N/A No such matters raised. | N/A No such matters raised. | N/A |
| s7.12A(4)(a) & (4)(b) | Where matters identified as significant were reported in the auditor's report, did the local government prepare a report that stated what action the local government had taken or intended to take with respect to each of those matters? Was a copy of the report given to the Minister within three months of the audit report being received by the local government? | N/A No such matters raised. | N/A No such matters raised. | N/A |
| S7.12A (4) | Where the auditor identified matters as significant in the auditor's report (prepared under s7.9(1) of the Act), did the local government prepare a report stating what action had been taken or it intended to take with respect to each of the matters and give a copy to the Minister within 3 months after receipt of the audit report? | | | |

| FINANCE | | | | |
|-----------------|--|------|------|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s7.12A(5) | Within 14 days after the local government gave a report to the Minister under s7.12A(4)(b), did the CEO publish a copy of the report on the local government's official website? | N/A | N/A | N/A |
| Audit Reg 7 | Did the agreement between the local government and its auditor include the objectives and scope of the audit, a plan for the audit, details of the remuneration and expenses paid to the auditor, and the method to be used by the local government to communicate with the auditor? | | | |
| | Did the agreement between the local government and its auditor include the scope of the audit? | | | |
| | Did the agreement between the local government and its auditor include a plan for the audit? | | | |
| | Did the agreement between the local government and its auditor include details of the remuneration and expenses to be paid to the auditor? | | | |
| | Did the agreement between the local government and its auditor include the method to be used by the local government to communicate with, and supply information to, the auditor? | | | |
| Audit Reg 10(1) | Was the auditor's report for the financial year ending 30 June received by the local government within 30 days of completion of the audit? | Yes | Yes | Yes |

| INTEGRATED PLANNING AND REPORTING | | | | |
|-----------------------------------|---|--|--|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s5.56 Admin Reg 19DA (6) | Has the local government adopted a Corporate Business Plan. If Yes, please provide adoption date of the most recent Plan in Comments? | | | |
| s5.56 Admin Reg 19DA (4) | Has the local government reviewed the Corporate Business Plan in the 2018-2019 Financial Year. If Yes, please provide date of Council meeting the review was adopted at? | | | |
| Admin Reg 19C | Has the local government adopted by absolute majority a strategic community plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section? | Yes The Strategic Community Plan (Joondalup 2032) was adopted by Council on 28 June 2022 (CJ093-06/22 refers). | Yes The Strategic Community Plan (Joondalup 2032) was adopted by Council on 28 June 2022 (CJ093-06/22 refers). | Yes |
| s5.56 Admin Reg 19C (4) | Has the local government reviewed the current Strategic Community Plan. If Yes, please provide date of most recent review by Council in Comments. Note: If the current Strategic Community Plan was adopted after 1/1/2016, please respond N/A and provide adoption date in Comments? | | | |
| Admin Reg 19DA(1) & (4) | Has the local government adopted by absolute majority a corporate business plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section? | Yes The City's Corporate Business Plan 2024-2028 was adopted by Council on 25 June 2024 (CJ147-06/24 refers). | Yes The City's Corporate Business Plan 2023-2027 was adopted by Council on 27 June 2023 (CJ093-06/23 refers). | Yes |
| Admin Reg 19DA(2) & (3) | Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)? | Yes | Yes | Yes |
| S5.56 Admin Reg 19DA (3) | Has the local government developed an Asset Management Plan(s) that covers all asset classes. If Yes, please provide the date of the most recent Plan adopted by Council in Comments? | | | |
| S5.56 Admin Reg 19DA (3) | Has the local government developed a Long Term Financial Plan. If Yes, please provide the adoption date of the most recent Plan in Comments? | | | |
| S5.56 Admin Reg 19DA (3) | Has the local government developed a Workforce Plan. If Yes, please provide adoption date of the most recent Plan in comments? | | | |

| LOCAL GOVERNMENT EMPLOYEES | | | | |
|--------------------------------------|--|---|---|------|
| Reference | Question | 2024 | 2023 | 2022 |
| Admin Reg 18C | Did the local government approve a process to be used for the selection and appointment of the CEO before the position of CEO was advertised? | | | |
| s5.36(4) & s5.37(3) Admin Reg 18A | Were all CEO and/or senior employee vacancies advertised in accordance with Admin Reg 18A? | N/A | N/A No vacancies during the period. | N/A |
| Admin Reg 18E | Was all information provided in applications for the position of CEO true and accurate? | N/A | N/A | N/A |
| Admin Reg 18F | Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position under section 5.36(4)? | N/A | N/A | N/A |
| s5.37(2) | Did the CEO inform council of each proposal to employ or dismiss senior employee? | Yes Council was informed at its meeting held on 19 September 2024 (CJ260-09/24 refers) that the employment contract of the Director Corporate Services was being renewed for a further five year period from 3 February 2025. | Yes Council was informed at its meeting held on 12 December 2023 (CJ290-12/23 refers) that the employment contract of the Director Governance and Strategy was being renewed for a further five year period from 21 April 2024. | N/A |
| s5.37(2) | Where council rejected a CEO's recommendation to employ or dismiss a senior employee, did it inform the CEO of the reasons for doing so? | N/A | N/A | N/A |

| OFFICIAL CONDUCT | | | | |
|------------------|---|------|------|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s5.120 | Has the local government designated a senior employee as defined by section 5.37 to be its complaints officer? | Yes | Yes | Yes |
| s5.121(1) & (2) | Has the complaints officer for the local government maintained a register of complaints which records all complaints that resulted in a finding under section 5.110(2)(a)? Does the complaints register include all information required by section 5.121(2)? | Yes | Yes | Yes |
| | Has the complaints officer for the local government maintained a register of complaints which records all complaints that result in action under s5.110(6)(b) or (c)? | | | |
| s5.121(2) | Does the complaints register include all information required by section 5.121 (2)? | Yes | Yes | Yes |
| s5.121(2)(a) | Does the complaints register maintained by the complaints officer include provision for recording of the name of the council member about whom the complaint is made? | | | |
| s5.121(2)(b) | Does the complaints register maintained by the complaints officer include provision for recording the name of the person who makes the complaint? | | | |
| s5.121(2)c | Does the complaints register maintained by the complaints officer include provision for recording a description of the minor breach that the standards panel finds has occurred? | | | |
| s5.121(2)(d) | Does the complaints register maintained by the complaints officer include the provision to record details of the action taken under s5.110(6)(b) or (c)? | | | |
| s5.121(3) | Has the CEO published an up-to-date version of the register of the complaints on the local government's official website? | Yes | Yes | Yes |

| OPTIONAL QUESTIONS / OTHER | | | | |
|----------------------------------|---|---|---|------|
| Reference | Question | 2024 | 2023 | 2022 |
| Financial Management Reg 5(2)(c) | Did the CEO review the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with Financial Management Reg 5(2)(c) within the three years prior to 31 December [the relevant year]? If yes, please provide the date of council's resolution to accept the report. | N/A | Yes At its meeting held on 19 September 2023 (13.2.2 refers). | N/A |
| Audit Reg 17 | Did the CEO review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Audit Reg 17 within the three years prior to 31 December [the relevant year]? If yes, please provide date of council's resolution to accept the report. | N/A | Yes At its meeting held on 19 September 2023 (13.2.1 refers). | N/A |
| Financial Management Reg 5A. | Did the local government provide AASB 124 related party information in its annual report(s) tabled at an electors meeting(s) during calendar year 2019? | | | |
| s5.87C(2) | Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift? | | | |
| | Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C? | Yes | Yes All disclosures were made within 10 days and include the information required by section 5.87C of the Act. | Yes |
| s5.90A(2) & (5) | Did the local government prepare, adopt by absolute majority and publish an up-to-date version on the local government's website, a policy dealing with the attendance of council members and the CEO at events? | Yes An Attendance at Events Policy was adopted by Council at its meeting held on 19 May 2020 (CJ067-05/20 refers). | Yes An Attendance at Events Policy was adopted by Council at its meeting held on 19 May 2020 (CJ067-05/20 refers). | Yes |
| s5.96A(1), (2), (3) & (4) | Did the CEO publish information on the local government's website in accordance with sections 5.96A(1), (2), (3), and (4)? | Yes All information is on the City's website that is required to be published. | Yes All information is on the City's website that is required to be published. | Yes |
| s5.128(1) | Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members? | Yes The Council has adopted an Elected Members' Entitlements Policy, which contains matters in relation to the continuing professional development of elected members. The Policy was last reviewed by Council at its meeting held on 26 March 2024 (CJ058-03/24 refers) and adopted by an Absolute Majority. | Yes The Council has adopted an Elected Members' Entitlements Policy, which contains matters in relation to the continuing professional development of elected members. The Policy was last reviewed by Council at its meeting held on 17 May 2022 (CJ077-05/22 refers) and adopted by an Absolute Majority. | Yes |

| OPTIONAL QUESTIONS / OTHER | | | | |
|----------------------------|---|--|--|------|
| Reference | Question | 2024 | 2023 | 2022 |
| s5.127 | Did the local government prepare a report on the training completed by council members in the [the relevant year] and publish it on the local government's official website by 31 July each year? | Yes Council received a report at its meeting held on 23 July 2024 (CJ177-07/24 refers). The report is available on the City's website and was published before 31 July 2024. | Yes Council received a report at its meeting held on 25 July 2023 (CJ115-07/23 refers). The report is available on the City's website and was published before 31 July 2023. | Yes |
| s6.4(3) | By 30 September [the relevant year], did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June [the relevant year]? | Yes Submitted to the Office of the Auditor General on 30 September 2024. | Yes Submitted to the Office of the Auditor General on 28 September 2023. | Yes |
| s.6.2(3) | When adopting the annual budget, did the local government take into account all it's expenditure, revenue and income? | Yes | Yes | Yes |

| TENDERS FOR PROVIDING GOODS AND SERVICES | | | | |
|--|--|------|------|------|
| Reference | Question | 2024 | 2023 | 2022 |
| F&G Reg 11A(1) & (3) | Did the local government comply with its current purchasing policy [adopted under F&G Reg 11A(1) & (3)] in relation to the supply of goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less? | Yes | Yes | Yes |
| | Does the local government have a current purchasing policy that complies with F&G Reg 11A(3) in relation to contracts for other persons to supply goods or services where the consideration under the contract is, or is expected to be, \$250,000 or less or worth \$250,000 or less? | | | |
| F&G Reg 11A | Does the local government have a current purchasing policy that complies with F&G Reg 11A(3) in relation to contracts for other persons to supply goods or services where the consideration under the contract is, or is expected to be, \$150,000 or less? | | | |
| | Did the local government comply with its current purchasing policy in relation to the supply of goods or services where the consideration under the contract is, or is expected to be \$150,000 or less or worth \$150,000 or less? | | | |
| s3.57 F&G Reg 11 | Subject to Functions and General Reg 11(2), did the local government invite tenders for all contracts for the supply of goods or services where the consideration under the contract was, or was expected to be, worth more than the consideration stated in F&G Reg 11(1)? | Yes | Yes | Yes |
| F&G Regs 11(1), 12(2), 13, & 14(1), (3), and (4) | When regulations 11(1), 12(2) or 13 required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with Functions and General Reg 14(3) and (4)? | Yes | Yes | Yes |
| F&G Reg 12 | Did the local government comply with Functions and General Reg 12 when deciding to enter into multiple contracts rather than a single contract? | Yes | Yes | Yes |
| F&G Reg 14(1) & (3) | Did the local government invite tenders via Statewide public notice? | | | |
| F&G Reg 14 & 15 | Did the local government's advertising and tender documentation comply with Functions and General Regs 14, 15 & 16? | | | |
| F&G Reg 14(5) | If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer notice of the variation? | Yes | Yes | Yes |
| F&G Regs 15 & 16 | Did the local government's procedure for receiving and opening tenders comply with the requirements of Functions and General Regs 15 and 16? | Yes | Yes | Yes |
| F&G Regs 16 | Did the local government's procedure for receiving and opening tenders comply with the requirements of Functions and General Reg 16? | | | |

| TENDERS FOR PROVIDING GOODS AND SERVICES | | | | |
|--|--|---|---|------|
| Reference | Question | 2024 | 2023 | 2022 |
| F&G Reg 17 | Did the information recorded in the local government's tender register comply with the requirements of Functions and General Reg 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website? | Yes | Yes | Yes |
| | Did the information recorded in the local government's tender register comply with the requirements of Functions and General Reg 17 and did the CEO make the tenders register available for public inspection? | | | |
| F&G Reg 18(1) | Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender? | N/A The Tenderlink electronic submission system automatically declines any attempts to submit tenders after the cut-off time specified in the tender. | N/A The Tenderlink electronic submission system automatically declines any attempts to submit tenders after the cut-off time specified in the tender. | Yes |
| F&G Reg 18(4) | Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept? | Yes | Yes | Yes |
| F&G Reg 19 | Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted? | Yes | Yes | Yes |
| F&G Regs 21 & 22 | Did the local government's advertising and expression of interest processes comply with the requirements of Functions and General Regs 21 and 22? | Yes | Yes | Yes |
| F&G Reg 23(1) & (2) | Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice? | N/A The Tenderlink electronic submission system automatically declines any attempts to submit tenders after the cut-off time specified in the tender. | N/A The Tenderlink electronic submission system automatically declines any attempts to submit expressions of interest after the cut-off time specified in the tender. | N/A |
| F&G Reg 23(3) & (4) | Were all expressions of interest that were not rejected under Functions and General Reg 23(1) & (2) assessed by the local government? Did the CEO list each person as an acceptable tenderer? | Yes | Yes | Yes |
| F&G Reg 23(4) | After the local government considered expressions of interest, did the CEO list each person considered capable of satisfactorily supplying goods or services? | | | |
| F&G Reg 24 | Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with Functions and General Reg 24? | Yes | Yes | Yes |

| TENDERS FOR PROVIDING GOODS AND SERVICES | | | | |
|--|---|---|--|------|
| Reference | Question | 2024 | 2023 | 2022 |
| F&G Reg 24AC (1) & (2) | Has the local government established a policy on procurement of goods and services from pre-qualified suppliers in accordance with the regulations? | | | |
| F&G Regs 24AD(2) & (4) and 24AE | Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with Functions and General Reg 24AD(4) and 24AE? | Yes | Yes | Yes |
| F&G Reg 24AD(6) | If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application notice of the variation? | Yes | Yes | Yes |
| F&G Reg 24AF | Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of Functions and General Reg 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application? | Yes | Yes | Yes |
| F&G Reg 24AG | Did the information recorded in the local government's tender register about panels of pre-qualified suppliers comply with the requirements of Functions and General Reg 24AG? | Yes | Yes | Yes |
| F&G Reg 24AH(1) | Did the local government reject any applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time, specified in the invitation for applications? | N/A The Tenderlink electronic submission system automatically declines any attempts to submit tenders after the cut-off time specified in the tender. | N/A The Tenderlink electronic submission system automatically declines any attempts to submit applications after the cut-off time specified in the tender. | N/A |
| F&G Reg 24AH(3) | Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept? | Yes | Yes | Yes |
| F&G Reg 24AI | Did the CEO send each applicant written notice advising them of the outcome of their application? | Yes | Yes | Yes |
| F&G Regs 24E & 24F | Where the local government gave regional price preference, did the local government comply with the requirements of Functions and General Regs 24E and 24F? | N/A | N/A | N/A |



Public Sector
Commission

Integrity Education

An integrity thematic
review

December 2024



From the Public Sector Commissioner

When we know better, we do better. Integrity education helps us do better by creating an understanding of the behaviours expected of us as public officers so we can hold ourselves and each other to account in our work.

Integrity education is an important part of how public authorities promote integrity and prevent misconduct. It builds the integrity knowledge and skills of public officers, shaping their daily attitudes to and behaviours around integrity.

This review considers the approach to integrity education from a cross section of Western Australian government authorities including departments, public sector agencies, local governments, government trading enterprises and public universities. The information gathered from these authorities highlights what is being done well in integrity education and where improvement opportunities lie.

I expect each authority leader to consider this report and use it to inform actions required to strengthen their approach to integrity education.

This is my third thematic review looking at integrity policies, procedures and practices in the government sector. Together, the reviews provide a wealth of information and guidance for the entire sector beyond participating authorities.

I thank the authorities that participated in this review. Their officers generously gave time to share information about the policies, frameworks and practices that make up the review report.

This report contributes to our collective efforts for a trusted government sector.



Sharyn O'Neill PSM
Public Sector Commissioner

December 2024

Integrity education

Public officers are trusted to act with integrity in the delivery of services to the communities they serve. When officers breach this trust it erodes confidence in the public authority they work for and the broader government sector.

To maintain this trust, authority leaders must ensure their officers are aware of their obligation to always act with integrity. This cannot be assumed.

A fundamental way to do this is by educating officers about expectations and requirements that relate to them. Equipped with this knowledge, officers are better able to recognise integrity issues and respond appropriately. They are also better able to assist their authority in detecting breaches of expected standards of behaviour including those involving misconduct.

For their part, officers must inform themselves by attending training, familiarising themselves with policies and guidance provided by their authority, and seeking advice when unsure.

'Integrity education' includes all activities and resources to improve integrity knowledge, awareness and understanding such as training, campaigns, messaging, publications and events.

'Integrity training' is a subset of integrity education and includes formal and planned training – such as training on codes of conduct – which may be delivered face to face, online or through other modes.

How the review was undertaken

The Commission invited a small number of public authorities to be part of the review so good practices and opportunities for improvement can be shared across the government sector.

The review was conducted using the Public Sector Commissioner's prevention and education function under s.45 A of the *Corruption, Crime and Misconduct Act 2003*. It focused on 4 areas:

- Frameworks that govern integrity education
- Approaches used to educate officers
- Reinforcement of integrity education
- Evaluation and improvement of integrity education

The 12 authorities that participated were 3 local governments, 3 departments, 3 public sector agencies, one government trading enterprise and 2 public universities. Full time equivalent employee numbers in each of these authorities ranged from 259 to 8,544.

The review included consultation with authority representatives and examined documents including frameworks, policies and procedures related to integrity education. It also looked at training being provided to officers, with a particular focus on how authorities educate officers about their codes of conduct. It did not cover integrity education provided to those appointed to boards and committees or to elected members of local and state governments.

The report does not provide an account of each authority but rather an overview of the approaches to integrity education undertaken in all 12 authorities. It does not make comparisons between reviewed authorities as approaches to integrity education vary based on authority size, operating context and integrity risk profile.

Opportunities for improvement summary

The review observed that authorities are using resources developed by the Commission to support their integrity education efforts.

As part of the new [Integrity Strategy for WA Public Authorities 2024-28](#), the Commission intends to continue developing and providing awareness raising resources for authorities.

The review identified an opportunity for the Commission to supplement the current [integrity education resources](#) with sample evaluation forms for authorities to use; and update the integrity framework guide to include additional good and better practice initiatives in the Learn and Develop section.

Authorities should consider the opportunities for improvement, summarised below, in conjunction with the good practice observations in this report.

| Focus area | Improvement |
|---|--|
| Frameworks that govern integrity education | Authorities document all integrity education being delivered and by whom in an integrity framework, policy or plan. |
| | Authorities formalise meetings between functional areas with roles and responsibilities for delivering integrity education to identify opportunities for collaboration and confirm whether any content needs to change, such as in response to emerging integrity issues. |
| | Authorities record attendance at internal non-mandatory sessions to gather a more complete picture of the integrity knowledge of officers and identify areas to further target. |
| | Authorities formalise in policy the sharing of integrity learnings from external integrity events; and, where attendance approval is required, supporting forms have officers describe how they intend to share learnings with relevant colleagues. |
| Approaches to educate officers | Authorities give prominence to code of conduct training rather than include it as part of broader inductions where key messages may be lost. |
| | Authorities provide specific integrity training and resources to managers to build their knowledge about promoting integrity and helping to prevent misconduct. |
| | Authorities include in integrity training for managers what misconduct is, red flags that may indicate misconduct, the importance of dealing with issues early and how to respond appropriately to reports of misconduct. Including these aspects recognises that most managers have responsibility for supervising officers and leading the daily delivery of services. Managers are most often the first people that officers seek advice from or raise concerns with. Without their support, the leadership team may find it difficult to maintain integrity. |

| Focus area | Improvement |
|---|--|
| Reinforcement of integrity education | Authorities develop a specific communications plan for integrity or incorporate it in an existing plan. This should schedule integrity messaging including campaigns that support training being delivered. |
| | Authorities monitor internet views of integrity policies and procedures as well as readership of emailed integrity messages to inform communications planning. Monitoring helps authorities gauge interest, understand the effectiveness of different messages and channels, and identify areas for further targeting. |
| Evaluation and improvement of integrity education | Authorities collect, combine and analyse information from a range of sources to help measure the effectiveness of training, validate learning approaches and inform improvements to integrity education. |
| | Authorities periodically collect post training feedback on how officers intend to use their learning and, at a later stage, follow up with them about whether they have applied their learning. Feedback can be used to inform whether training requires improvements to help embed learnings in workplaces. |

Frameworks that govern integrity education

A documented approach governs the delivery, management and monitoring of integrity education in authorities.

Good governance of integrity education starts with well documented policies, procedures, plans and schedules. These guide the authority's overall approach to integrity education by ensuring accountability for and consistency in how and when it is delivered, who it is delivered to and who it is delivered by.

To support governance, a system or process for monitoring integrity education delivery and completion needs to be in place. At a minimum a system or process tracks completion rates for mandatory training so follow up can occur, assurance can be provided to the authority's leadership team and any reporting requirements can be met.

Documentation governing integrity education should form part of an authority's [integrity framework](#). This recognises the importance of integrity education in contributing to an authority's integrity promotion and misconduct prevention efforts.

The [Integrity Framework Maturity Self Assessment Tool](#) helps an authority assess the maturity of its approaches to integrity including how it educates its officers.

Key observations

- All reviewed authorities had some documentation such as policies, frameworks and training plans to govern integrity education. The comprehensiveness of these documents varied.
- Ten authorities had integrity frameworks.
- In most authorities the delivery of integrity education sat in more than one functional area.
- Not all integrity frameworks identified or documented education being delivered across the authority outside designated integrity and conduct areas, for example training being undertaken in or by procurement.
- Not all activities to raise awareness about integrity were documented in integrity frameworks, such as messaging being delivered about integrity.
- Over half of the authorities reported using the Commission's Integrity Framework Maturity Self Assessment Tool to check the maturity level of their approach to integrity education.
- All authorities reported they had mandated training on their codes of conduct or similar.
- Most authorities provided training on other integrity topics for their officers or those undertaking higher risk activities and functions such as procurement. Not all training was mandated.
- All authorities had systems or processes to track and record mandatory training and follow up on completion. Approaches varied from collecting attendance sheets and manual entering of data through to automated online systems.

Good practices observed

- Coordination of learning management and professional development systems – provides mandatory training to be followed up and any learning gaps to be discussed by managers with their direct reports such as during performance conversations.
- Mandated refresher training on codes of conduct at intervals between 2 and 3 years – reminds officers of expectations and keeps them up to date with any changes to codes of conduct and related policies.
- Reports and dashboards showing attendance rates for mandatory sessions provided to the leadership team – assures compliance obligations are being met.

Case study: Taking a risk based approach

A risk based approach identifies risks associated with the work of the authority and uses this to inform the type of training required, whether it should be mandatory, who it should be delivered to, when it should be delivered and by whom. Risks can be considered at whole of authority, functional or positional levels.

One authority mandated bi-annual training for all its officers on confidential information based on their risk profile.

Another authority assessed risks for all its positions and linked training to be automatically allocated based on the assigned level of risk. This also applied when officers changed roles.

Opportunities for improvement

- Document all integrity education being delivered and by whom in an integrity framework, policy or plan to support accountability and coordination.
- Formalise meetings between functional areas with roles and responsibilities for delivering education to identify opportunities for collaboration and confirm whether any content needs to change such as in response to emerging integrity issues. Document this approach in the authority's integrity framework or policy.
- Record attendance at internal non-mandatory integrity education sessions to gain a more complete picture of the integrity knowledge of officers and help identify areas to further target.
- Formalise the sharing of integrity learnings from external integrity events in policy to maximise the benefits of external learning beyond participants. Where attendance approval is required, supporting forms have officers describe how they intend sharing learnings with relevant colleagues.

Approaches to educate officers

The approach to integrity education design and delivery accounts for authorities' expectations, operating contexts and integrity risk profiles.

Effective integrity education should be:

- informed by the authority's risks including those presented by stakeholders and groups associated with the authority's work
- reflect an authority's expectations and requirements such as code of conduct, values and legislation
- created by individuals with a good understanding of the subject matter
- delivered in a timely manner
- presented in an appropriate format whether that be face to face or online.

Key observations

- All authorities provided code of conduct training as part of their integrity education. The provision of other education activities varied by type and quantity.
- Most training on codes of conduct covered topics that would be expected in this type of training such as conflicts of interest, use of public resources, record keeping, use of information and reporting breaches of the code.
- Other training delivered by authorities included procurement, fraud and corruption control, and appropriate use of ICT.
- Code of conduct training was incorporated in induction or delivered as standalone sessions. Usual practice was to have new officers complete training as soon as possible after starting employment.
- Online was the most common form of training delivery, with mandatory code of conduct training primarily delivered this way.
- Several authorities with regional presences delivered face to face training on integrity topics across their sites. This approach was seen to be beneficial in fostering relationships between participants and areas responsible for delivering education and supporting misconduct prevention.
- Most authorities delivering regional training reported that, following visits, they noticed an increase in participants seeking advice.
- Authorities reported drawing on internal and external subject matter experts to assist in delivering integrity education on occasions including representatives from integrity agencies.
- Several authorities included information about governance and integrity in existing senior leadership and management programs.
- Most authorities did not provide specific integrity training for contractors or suppliers. Rather, information about their commitment to integrity and expectations were included in a statement of business ethics or engagement arrangements.
- One authority had code of conduct training for volunteers.

Good practices observed

- Leadership endorsement of code of conduct or similar training – helps set the tone from the top and provides leaders with oversight of the information being provided to officers.
- Use of internal and external information to develop and update content, identify where to target training and develop de-identified case studies and scenarios to facilitate learning – helps make training relatable by reflecting risks that officers are likely to encounter. Providing examples related to the authority also helps officers identify behaviour not in keeping with expectations.

Examples of internal information

- Risk registers
- Audit recommendations
- Code of conduct issues
- Matters reported
- Conflicts of interest declarations
- Gift registers
- Employee perception surveys
- Post session feedback

Examples of external information

- Interagency working groups
- Integrity agency reports
- Integrity agency resources
- Media articles
- Inclusion of information about misconduct in mandatory code of conduct training covering how to report it internally and externally to the Public Sector Commission and Corruption and Crime Commission – equips officers with knowledge to identify potential misconduct and ensures they know about pathways to report it.
- Provision of specific integrity training to contractors based on the level of risk they present such as those with system access - can reduce integrity risks where those undertaking functions for an authority have the same level of access to information and resources as those employed by it.
- Regular lunch and learn sessions for managers - provides information on contemporary integrity topics and facilitates discussion with subject matter experts.

Opportunities for improvement

- Give code of conduct training sufficient prominence to avoid key messages being lost. Codes of conduct set the standards of behaviour essential to embedding integrity into daily activities. When code of conduct training is part of broader corporate induction sessions, key messages may be lost. Induction can be used to introduce the code ahead of more fulsome training.
- Provide specific integrity training and resources to managers to build their knowledge about promoting integrity and helping to prevent misconduct.
- Include in integrity training for managers what misconduct is, red flags that may indicate misconduct, the importance of dealing with issues early and how to respond appropriately to reports of misconduct. Including these aspects recognises that most managers have responsibility for supervising officers and leading the daily delivery of services. Managers are most often the first people who officers seek advice from or raise concerns with. Without their support, the leadership team may find it difficult to maintain integrity.

Reinforcement of integrity education

A comprehensive approach is taken to raising awareness about integrity and reinforcing authorities' expectations to support formal and planned training.

To help educate officers and embed integrity, the authority should combine awareness raising activities with formal and planned training. These should start from the moment positions are created and continue until officers leave the authority.

Key observations

- Most authorities incorporated integrity messaging in position descriptions.
- Most authorities required new officers to read and sign their code of conduct to acknowledge they would meet its standards.
- Over half of authorities indicated that codes of conduct and values formed part of their performance discussions. Several authorities also had officers reflect on how their behaviours aligned with the code and values, and recorded this.
- Most authorities had conducted campaigns to raise awareness of integrity risks.
- Several authorities reported using the Commission's resources to educate officers and stakeholders such as ['It's all in a day's work'](#), ['Anything to declare'](#) and ['Check 1,2'](#).
- Other methods authorities reported using to raise awareness included:
 - newsletters
 - emails
 - screens in lifts and common areas
 - social media
 - intranet.

Good practices observed

- Dashboard shared with leaders includes information on conflicts of interest; gifts, benefits and hospitality; secondary employment; and mandatory education completion rates – informs leaders of potential areas of focus.
- Development of an integrity health check – provides leaders with a snapshot of integrity matters in their areas such as the number of conflict of interest declarations, breaches of the code, completion of training and results of perception surveys. It also asks leaders what they are doing to support integrity and recommends ways they can do this such as discussing the code of conduct in team meetings. This approach reinforces training messages about the role of managers to monitor, oversee and maintain integrity.
- Emails or system generated annual reminders about declaring conflicts of interest and secondary employment, and linking these with performance discussions – helps reinforce training messages about declarations and management.
- Videos where authority leaders describe what integrity means to them – reinforces the tone from the top.
- Network of integrity champions responsible for sharing and reinforcing centrally developed messaging with officers in their functional areas and who play an active role in promoting integrity including hosting campaign events – helps create shared responsibility for integrity.
- Recognition for officers who demonstrated authority values at regular whole of authority meetings – acknowledges role models and celebrates positive behaviours while raising awareness about authority values.
- Dedicated integrity sections on intranets – makes it easy for officers to locate relevant frameworks, policies and procedures. Where officers did not have regular computer access other approaches were used such as toolbox meetings.

Case study: Using technology to talk about integrity

Combining communication methods can help reach a broader audience.

One authority made use of technology to complement existing approaches to integrity education. With a geographically spread workforce, it developed podcasts about integrity where subject matter experts discussed topics such as confidentiality, conflicts of interest and gifts. They also talked about their roles in helping to prevent misconduct and conducting investigations, and debunked myths about what they do.

Opportunities for improvement

- Develop a specific communications plan for integrity or incorporate integrity into an existing plan to ensure consistent delivery of integrity messaging throughout the year. Include in the plan a schedule of integrity messaging and campaigns that support training being delivered. The communications plan should form part of authorities' integrity frameworks.
- Monitor internet views of integrity policies and procedures and readership of emailed integrity messages to inform communications planning. Monitoring helps authorities gauge interest, understand the effectiveness of different messaging and channels, and identify areas for further targeting.

Evaluation and improvement of integrity education

Evaluating integrity education and measuring its effectiveness assist authorities to improve their overall education approach.

Evaluating integrity education and measuring the impact of it helps an authority identify gaps in officers' knowledge, know where to target education and inform improvements to its approach.

Key observations

- Authorities were not consistently collecting feedback about mandatory code of conduct or similar training. Some feedback collections were limited to session improvements and did not measure the objectives of the training or ask how participants would apply learnings.
- Authorities did not consistently follow up with officers at a later stage to explore how they were applying their learnings.
- Feedback was not generally sought about non-mandatory training.
- Some authorities reported using a range of methods to measure the effectiveness of integrity education, however most were not fully using all available information to do this.

Good practice observed

- Learnings from attendance at external events and reports of integrity agencies to review training – helps ensure training remains contemporary.
- Monitoring conflicts of interest trends and evaluating the quality of completed declaration forms – helps evaluate the effectiveness of training on conflicts of interest which includes instruction on how forms should be completed.

Opportunities for improvement

- Collect, combine and analyse information from a range of sources to help measure the effectiveness of training, validate learning approaches and inform improvement to integrity education. Some caution should be taken in how information is considered, an example being using low misconduct reporting as assurance that integrity is understood. A small number of reports may indicate little misconduct is occurring or it may indicate an unwillingness to report.
- Use a range of information sources to measure effectiveness including:
 - conflicts of interest and gift registers
 - quality of completed declarations
 - secondary employment applications
 - audit recommendations
 - training session feedback
 - results from training session questions
 - surveys to test officers' knowledge
 - matters reported
 - completed disciplinary matters
 - exit interviews.
- Collect periodic post training session feedback on how officers intend to use their learning, and at a later stage follow up with them about whether they have applied their learning, to inform whether training requires improvements to help embed learnings in the workplace.



Integrity Education Thematic Review

City of Joondalup Report

This report has key observations and improvement opportunities in 4 focus areas to help inform your authority's ongoing efforts to assess and improve its approach to integrity education.

| Focus area | Key observations | Improvement opportunities |
|--|---|--|
| 1. Frameworks that govern integrity education | <p>A Strategic Plan, Fraud, Corruption and Misconduct Control Framework and Integrity Framework Action Plan documents the City of Joondalup's approach to integrity education. These form part of the City's integrity framework. These frameworks are published on the City's intranet.</p> <p>The role of the Manager of Governance to deliver ethical training and awareness is set out in the integrity framework. This approach helps to support accountability and continuity.</p> <p>A continuous improvement approach to integrity education and the City has used the Public Sector Commission's Integrity Framework Maturity Self Assessment Tool to assess and improve its approach.</p> <p>It is mandatory for employees to complete a corporate induction which includes integrity training implemented in the last 12 months. The City is intending to introduce refresher training. This along with other integrity training will form part of an employee's annual Individual Development and Performance Plan.</p> <p>A Learning Management System (LMS) maintained by Audit, Risk and Executive Services (ARES), delivers mandatory integrity training. The LMS automatically notifies employees to complete training and can produce reports to monitor completion rates. The CEO receives reports on completion rates from ARES.</p> <p>There is a formal process in place for employees to request approval for attendance at external events with associated costs. There is an expectation learnings will be shared with others. Managers determine the suitability of these requests based on an individual's role and value of attendance to the City.</p> | <p>In recognition that procurement is vulnerable to misconduct, include responsibility for delivering this training in the integrity framework. Also include roles and responsibilities of all functional areas that deliver integrity education and help prevent misconduct.</p> <p>Document the City's approach to integrity communications in a specific or existing communications plan to ensure integrity messaging occurs throughout the year. This plan would form part of the City's integrity framework.</p> <p>Formalise the sharing of learnings from external events in existing procedures and link them to the integrity framework. Include in procedures, ways to track and record this has occurred so the City maximises the benefits of employees attending these events.</p> |
| 2. Approaches to educate employees | <p>The City identified the need to establish an Integrity Officer role within ARES. Part of the role's responsibilities, as communicated in a business case, included the development and delivery of integrity education.</p> <p>The City's integrity and conduct training comprises of 3 modules, the code of conduct, values and behaviours, and use of the City's resources. Topics drawn from the code include conflicts of interest, misuse of information, and personal behaviours. Training also expands on information in the City's integrity, and fraud, corruption and misconduct control frameworks to emphasise the unique role of public officers.</p> <p>Training incorporates resources developed by integrity agencies including the Public Sector Commission and the Corruption and Crime Commission. Additional training is provided by organisations such as the WA Local Government Association and covers topics like procurement.</p> <p>For City employees who work outside and can't access the LMS, face to face training can be delivered on request.</p> | <p>It is understood the City provides additional training to those working in procurement and this is provided externally. For completeness reference this and any other integrity related training being delivered in the City's integrity framework, or in any policy or plan linked to it.</p> <p>Formalised meetings between those responsible for delivering and supporting education to identify ways to improve the City's approach to integrity education and confirm whether any messaging needs to change. For example, in response to any emerging integrity issues. Document this approach in the City's integrity framework or policy linked to it.</p> |

| Focus area | Key observations | Improvement opportunities |
|---|--|---|
| | A post session survey tests employee knowledge. This focuses on familiarity with session content and what was found to be of value. | |
| 3. Reinforcement of integrity education | <p>The City undertakes a number of activities to reinforce and support training. Positions of trust include standards of conduct in job descriptions. The City also requires employees to read and sign the code of conduct. Clear messaging about integrity education and its purpose is set out in the City's integrity framework.</p> <p>Messaging about integrity topics and discussions is periodically included in the communication team's weekly postings. Integrity themed campaigns are used. For example, reminding employees about the code of conduct and gifts policy. The City also displays promotional materials such as posters and videos. This helps to keep integrity front of mind.</p> <p>The CEO sets the tone from the top with a message on the City's intranet supporting the code of conduct, on which education is based. It was reported managers have informal discussions with their teams about integrity. Annual Individual Development and Performance Plans also provide opportunities for managers to discuss the City's values and the code of conduct with employees.</p> | <p>The interactive fraud, corruption and misconduct control framework contains links to key integrity documents and processes. For completeness add information about the City's education modules to this.</p> <p>To support existing discussions as part of the Annual Individual Development and Performance Plans, have employees reflect on codes of conduct and values and record how they demonstrate these into daily behaviours.</p> <p>Monitor intranet views of integrity policies, procedures and email communications to inform communications planning. Monitoring helps gauge interest, understand the effectiveness of different messaging and channels and identify areas for further targeting.</p> |
| 4. Evaluation and improvement of integrity education | The City uses a perception survey after training for all staff. The survey is delivered by Strategic Organisational Development and reviewed by the ARES team. It has been designed to identify required changes to training content recently introduced. | <p>Periodically ask employees how they intend to use their learnings in the workplace. Then at a later point follow up whether they have applied their learnings or if not, why not. This will help inform whether the training requires improvements to help embed learnings.</p> <p>Collect, combine and analyse information from a range of sources to get insights into the effectiveness of integrity education, delivery methods and identify gaps in learning. Sources could include employee surveys testing knowledge, conflict of interest and gift registers, audit recommendations, exit interviews, secondary employment applications, and training feedback. Use the insights to improve training and communications.</p> |



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 <i>(Evidence of completion)</i> | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | 5/26/2021 | 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 | 2/6/2025 | 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 | 1/7/2025 | 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 | 1/2/2025 | 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 <i>(Evidence of completion)</i> | 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 | 2/4/2025 | 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 | 1/23/2025 | | 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 | 1/30/2025 | | ongoing 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 | 12/13/2024 | 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 (Clth) | | | 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 | | | | |
| 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 | | | | |

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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |

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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| Mar | 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 | | | | |

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|-----|--|--|----------------------------------|--|--------------------------------------|------------------------------------|--|--|--|--|--|--|
| 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 | | | | |
| 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 | | | | |
| 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 | WALGGC Road Information Return - Submit WALGA Road Assets & Expenditure Certification Sheet | | | | Annual | Infrastructure Services | Asset Management | Manager Asset Management | | | | |
| 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 | | | | |

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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| Apr | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| Apr | Elections - Create Election Timeline | Local Government Act 1995 | Part 4 | | Biennial Next Due: 2025 | Governance and Strategy | Governance | Manager Governance | | | | |
| 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 | | | | |
| 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 | | | | |

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| Apr | Equal Employment Opportunity - Send Equality Index & Representation Summary to the Equal Opportunity Commission | Equal Opportunity Act 1984 | | | Annual | Governance and Strategy | Governance | Manager Human Resource Services | | | | |
| Apr | ABS - Submit quarterly construction report to Australian Bureau of Statistics | | | | Quarterly | Infrastructure Services | Engineering Services | Manager Engineering Services | | | | |
| 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 | | | | |
| 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 | | | | |
| Apr | Roads to Recovery - Online submission expenditure report and forecast for the next quarter | Roads to Recovery Act 2000 (Clth) | | | Quarterly | Infrastructure Services | Engineering Services | Manager Engineering Services | | | | |
| 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 | | | | |
| 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 | | | | |

Complete
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|-----|--|--|--|--|-----------------------------------|-------------------------|-------------------------------|---|----------------|---|--|--------|
| | 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 | 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 | | | | |

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|-----|---|--|--|--|-------------|-------------------------|----------------------|------------------------------|--|--|--|--|
| 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 | | | | |

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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. <i>(adopt and apply in the following Financial Year)</i> | Local Government Act 1995 | s.6.4 FM.Reg.34(5) | | Annual | Corporate Services | Financial Services | Manager Financial Services | | | | |
| Jun | 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 | | | | |

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|-----|---|--|---|---|--|-------------------------|--|--|--|--|--|--|
| 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 | | | | |
| 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 | | | | |

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|-----|--|--|---------------|--|-----------------------------------|------------------------------------|----------------------|------------------------------|--|--|--|--|
| 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 | | | | |

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 | Position Title Officer Responsible for Action Compliance | Position Title Officer Responsible for Action Compliance | Date Completed | Records Ref <i>(Evidence of completion)</i> | 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 | | | | |

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| 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) ad (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 | | | | |

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| 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 (Cith) | | | 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 (Cith) | | | 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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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 |
|-----|---|--|---------------------|---|------------------------------------|------------------------------------|--|---|----------------|---|--|--------|
| | 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 | | | | |

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| 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 | | | | |
|-----|--|--|--|--|--------|------------------------------------|--|--|--|--|--|--|

Complete
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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 |
|-----|---|--|---|--|---------------------------|-------------------------|-------------------------------|---|----------------|---|--|--------|
| | 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 | | | | |

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| 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 | | | | |

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 | 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 | | | | |

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|-----|---|--|-------------------------------------|---|----------------------------------|------------------------------------|--|--|--|--|--|--|
| 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 (Cith) | | | 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 | | | | |

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|-----|---|---------------------|----------|--|--------|------------------------------------|------------------|--------------------------|--|--|--|--|
| 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 | | | | |

Complete
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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 |
|-----|--|--|--|---|---------------------------|-------------------------|------------------------------------|---|----------------|---|--|--------|
| | 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 | | | | |

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|-----|---|--|---|--|----------------------------------|-------------------------|----------------------|------------------------------|--|--|--|--|
| 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 | | | | |

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 <i>(Evidence of completion)</i> | 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 | | | | |

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|-----|--|----------------|--|---|--------|------------------------------------|--|--|--|--|--|--|
| 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 | | | | |

Complete
In Progress
Behind Schedule
Not Applicable

BI-ANNUAL FIGURES FOR CONTRACT EXTENSIONS
1 JULY 2024 TO 31 DECEMBER 2024

| RFT NO. | TITLE | CONTRACTOR | CONTRACT TERM & EXTENSION OPTIONS | COUNCIL APPROVED | | | INITIAL PERIOD | | FIRST EXTENSION | | SECOND EXTENSION | | CUMULATIVE CONTRACT COST | EXTENSIONS APPROVED BY THE CEO DURING THE PERIOD |
|---------|--|---------------------------------------|--|------------------|------------|----------------|----------------|----------------|--------------------------|-----------------|--------------------------|-------------|--------------------------|--|
| | | | | From | To | Total Cost | Expiry Date | Cost | From / To | Cost / Estimate | From / To | Estimate | | |
| 010/21 | Provision of building minor works and maintenance of value less than \$250,000 | Hickey Constructions Pty Ltd | 3 years plus 2 x 1 year options to extend | 13/08/2021 | 12/08/2024 | \$5,028,576.00 | 12/08/2024 | \$4,811,535.96 | 13/08/2024 to 12/08/2025 | \$1,701,334.00 | 13/08/2025 to 12/08/2026 | \$1,726,854 | \$8,239,723.96 | First extension |
| 013/21 | Provision of irrigation electrical services | Triton Electrical Contractors Pty Ltd | 3 years plus 2 x 1 year options to extend | 22/08/2021 | 21/08/2024 | \$1,803,230.00 | 21/08/2024 | \$597,538.79 | 22/08/2024 to 21/08/2025 | \$100,000 | 22/08/2025 to 21/08/2026 | \$100,000 | \$797,538.79 | First extension |
| 025/20 | Cleaning of Stormwater Drainage Pipes and Structures | Drainflow Services Pty Ltd | 2 years plus 2 years & a further 1 year options to extend | 24/11/2020 | 23/11/2022 | \$307,590.00 | 23/11/2022 | \$710,633.00 | 24/11/2022 to 23/11/2024 | \$555,353.64 | 24/11/2024 to 23/11/2025 | \$400,000 | \$1,665,986.64 | Second extension |
| 020/21 | Drilling, development, testing of bores | MD and DM Water Boring Contractors | 3 years plus 2 x 1 year options to extend | 20/12/2021 | 19/12/2024 | \$567,702.00 | 19/12/2024 | \$253,725.90 | 20/12/2024 to 19/12/2025 | \$100,000 | 20/12/2025 to 19/12/2026 | \$100,000 | \$453,725.90 | First extension |
| 031/22 | Provision of Metal Fabrication Services | Iron Tech Industries | 2 years plus 1 x 2 year extension option and a further 1 year option to extend | 22/11/2022 | 21/11/2024 | \$314,521.00 | 21/11/2024 | \$350,403.68 | 22/11/2024 to 21/11/2026 | \$345,000.00 | 22/11/2026 to 21/11/2027 | \$180,000 | \$875,403.68 | First extension |
| 021/21 | Supply and installation of concrete paths, crossovers and associated works | Axiis Contracting Pty Ltd | 3 years plus 2 x 1 year options to extend | 1/01/2022 | 31/12/2024 | \$4,188,604.00 | 31/12/2024 | \$2,486,249.55 | 01/01/2025 to 31/12/2025 | \$732,000 | 01/01/2026 to 31/12/2026 | \$732,000 | \$3,950,249.55 | First extension |