



## Paxon Audit

Project Category	Sub Category	Source Document	Date of Source Document	Outcome	Officers Status Update	Code	Action	Priority	Directorate Responsibility	Assigned to	Business Unit	Due Date	Completed Date	% Complete	
289	N/A	N/A	Paxon Group Audit	24/07/17	Position Descriptions to be put in place before any formal appointments of staff take place	Ongoing as per IOP HR004 'Recruitment and Selection' updated in May 2016. Random internal audits to be undertaken to assess compliance with IOP HR004	N/A	Internal Audit framework and associated implementation plan to be developed by the Internal Audit and Risk Officer.	Medium	Corporate and Performance	Manager Governance	Governance	31/12/17		0%
290	N/A	N/A	Paxon Group Audit	24/07/17	A contract of employment between the Town and any new staff shall be signed before a new officer commences working for the Town	Ongoing as per IOP HR004 'Recruitment and Selection' updated in May 2016. Random internal audits to be undertaken to assess compliance with IOP HR004	N/A	Internal Audit framework and associated implementation plan to be developed by the Internal Audit and Risk Officer.	Medium	Corporate and Performance	Manager Governance	Governance	31/12/17		0%
291	N/A	N/A	Paxon Group Audit	24/07/17	Best value for money and best possible candidates are to be considered before entering into any contractual arrangements	Ongoing as per IOP HR004 'Recruitment and Selection' updated in May 2016. Random internal audits to be undertaken to assess compliance with IOP HR004	N/A	Internal Audit framework and associated implementation plan to be developed by the Internal Audit and Risk Officer.	Medium	Corporate and Performance	Manager Governance	Governance	31/12/17		0%
292	N/A	N/A	Paxon Group Audit	24/07/17	Ongoing relevance of specific officer roles are to be considered before formal appointment, as per the Town's workforce and long term financial plans	The Town's organisational structure has been updated in August 2017 and consideration has been given to the ongoing relevance of specific officer roles	N/A	The Town's workforce plan and its long term financial plans will be reviewed in 2018 to align with the 4 yearly major review of the strategic community plan	Medium	Corporate and Performance	Executive Manager Human Resources	Human Resources	30/06/18		0%
293	N/A	N/A	Paxon Group Audit	24/07/17	Appropriate records of recruitment and associated authorisation processes are to be kept by the Town in accordance with the State Records Act 2000	Ongoing as per IOP HR004 'Recruitment and Selection' updated in May 2016. Random internal audits to be undertaken to assess compliance with IOP HR004 and record keeping practices	N/A	Internal Audit framework and associated implementation plan to be developed by the Internal Audit and Risk Officer.	Medium	Corporate and Performance	Executive Manager Human Resources	Human Resources	31/12/17		0%
294	N/A	N/A	Paxon Group Audit	24/07/17	The Town should develop and implement a policy and procedure documents that document the performance of redundancy activities	The Town's HR team has developed a Standard Operating Procedure on 'Organisational Restructure Process' which documents the steps to be taken in relation to redundancy processes. Random internal audits to be undertaken to assess compliance with the Organisational Restructure Process SOP and record keeping practices	N/A	Internal Audit framework and associated implementation plan to be developed by the Internal Audit and Risk Officer.	Low	Corporate and Performance	Executive Manager Human Resources	Human Resources	31/12/17		0%
295	N/A	N/A	Paxon Group Audit	24/07/17	The Town should ensure that employment agreements with prospective employees address all items that will affect employment relationships, including reference to contract terms, general terms of employment, employee's duty of confidentiality and employee's duty of fidelity.	The Town currently makes reference in all of its offers of employment and/or redeployment to all items related to employment agreements as per the EBA and its HR Internal Operating Procedures Random internal audits to be undertaken to assess compliance of employment agreements with EBA conditions and HR Internal Operating Procedures	N/A	Internal Audit framework and associated implementation plan to be developed by the Internal Audit and Risk Officer.	Low	Corporate and Performance	Executive Manager Human Resources	Human Resources	31/12/17		0%
296	N/A	N/A	Paxon Group Audit	24/07/17	A register of legislative instruments the Town must comply with in relation to human resources is to be kept	Regular review of any updates in human resources legislative instruments the Town needs to comply with is to be undertaken This matter will be investigated by the Internal Audit and Risk Officer	N/A	Internal Audit framework and associated implementation plan to be developed by the Internal Audit and Risk Officer.	Low	Corporate and Performance	Executive Manager Human Resources	Human Resources	31/12/17		0%
297	N/A	N/A	Paxon Group Audit	24/07/17	The Town's Risk Register is to make reference to making staff redundant and redeployment of staff as a risk	This matter will be investigated by the Internal Audit and Risk Officer This is an ongoing risk which is to be regularly assessed	N/A	Internal Audit framework and associated implementation plan to be developed by the Internal Audit and Risk Officer.	Low	Corporate and Performance	Manager Governance and Policy	Governance	31/12/17		0%
298	N/A	N/A	Paxon Group Audit	24/07/17	The Town should develop and implement a policy that help ensure fair and consistent treatment of all employees made redundant	The Council adopted Policy 1/027 'Severance Payment' on 22 March 2017 Regular internal audits to be conducted to check compliance with Policy 1/027	N/A	Internal Audit framework and associated implementation plan to be developed by the Internal Audit and Risk Officer.	Medium	Corporate and Performance	Manager Governance	Governance	31/12/17		0%
299	N/A	N/A	Paxon Group Audit	24/07/17	A centralised record of all transactional documents for procurement should be kept for a proper audit trail to be kept which will increase operational efficiencies	The Town is in the process of rolling out a e-procurement online portal which will support the Town's current procurement functions Regular internal audits of the Town's procurement functions are to be carried out by the newly established Procurement team with the support of the Internal Audit and Risk Officer	N/A	Internal Audit framework and associated implementation plan to be developed by the Internal Audit and Risk Officer.	High	Corporate and Performance	Manager Governance and Policy	Governance	31/12/17		0%
300	N/A	N/A	Paxon Group Audit	24/07/17	The Town should use the 'Form of Agreement' template for all purchase greater than \$100,000 in value to help ensure a standard approach to contractual arrangements	The Town has engaged a Legal Advisor who is developing standard agreements to be utilised for contractual arrangements Random internal audits of the Town's forms of agreements to be undertaken	N/A	Internal Audit framework and associated implementation plan to be developed by the Internal Audit and Risk Officer.	Medium	Corporate and Performance	Manager Governance and Policy	Governance	31/12/17		0%
301	N/A	N/A	Paxon Group Audit	24/07/17	The Town's documentation and registers in relation to Procurement and Contract Management are to be duly compiled at all times to ensure compliance with relevant legislation	The Town has engaged Walga to carry out a review of all of its procurement and contract management policies, internal operating procedures and templates in September 2017 with a view of assisting the Town in targeted training as well as ensuring ongoing process improvements are undertaken to achieve compliance with relevant legislation Regular internal audits of the Town's procurement and contract management functions are to be carried out by the newly established Procurement team with the support of the Internal Audit and Risk Officer	N/A	Internal Audit framework and associated implementation plan to be developed by the Internal Audit and Risk Officer.	High	Corporate and Performance	Manager Governance and Policy	Governance	31/12/17		0%