



SHIRE OF
DOWERIN
TIN DOG TERRITORY

AGENDA

Audit & Risk Committee Meeting

To be held in Council Chambers
13 Cottrell Street, Dowerin WA 6461
Monday 15 March 2021
Commencing 4.00pm

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NOTICE OF MEETING

Dear Audit & Risk Committee Members,

The next Audit & Risk Committee Meeting of the Shire of Dowerin will be held on Monday 15 March 2021 in the Shire of Dowerin Council Chambers, 13 Cottrell Street, Dowerin commencing at 4.00pm.

Rebecca McCall
Chief Executive Officer
10 March 2021

DISCLAIMER

Statements or decisions made at this meeting should not be relied or acted on by an applicant or any other person until they have received written notification from the Shire. Notice of all approvals, including planning and building approvals, will be given to applicants in writing. The Shire of Dowerin expressly disclaims liability for any loss or damages suffered by a person who relies or acts on statements or decisions made at a Council or Committee meeting before receiving written notification from the Shire.

The advice and information contained herein is given by and to Council without liability or responsibility for its accuracy. Before placing any reliance on this advice or information, a written inquiry should be made to Council giving entire reasons for seeking the advice or information and how it is proposed to be used.

It should be noted that the Attachment hyperlinks may not be functional from this document when sourced from the Shire of Dowerin's website. Attachment copies follow on at the end of the Agenda and Minutes.

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Shire of Dowerin
Audit & Risk Committee Meeting
4.00pm Monday 15 March 2021



1. Official Opening

2. Record of Attendance / Apologies / Leave of Absence

Committee Members:

Cr DP Hudson	President & Chair
Cr BA Ward	Deputy President
Cr RI Trepp	

Staff:

Ms R McCall	Chief Executive Officer
Ms V Green	Executive & Governance Officer

Apologies: Ms C Delmage, Manager Corporate & Community Services

Approved Leave of Absence: Nil

3. Public Question Time

4. Disclosure of Interest

Committee Members are to complete a Disclosure of Interest Form for each item they are required to disclose an interest in. The Form should be given to the Presiding Member before the meeting commences. After the meeting, the Form is to be provided to the Executive & Governance Officer for inclusion in the Disclosures Register.

5. Confirmation of Minutes of the Previous Meeting(s)

5.1 Audit & Risk Committee Meeting held on 19 January 2021

Attachment 5.1A

Voting Requirements

Simple Majority Absolute Majority

Officer's Recommendation - 5.1


That, in accordance with Sections 3.18 and 5.22(2) of the *Local Government Act 1995*, the Minutes of the Audit & Risk Committee Meeting held on 19 January 2021, as presented in Attachment 5.1A, be confirmed as a true and correct record of proceedings.

6. PRESENTATIONS

Nil

7. OFFICER'S REPORTS

7.1 Appointment of External Member

<h1>Governance & Compliance</h1>		 SHIRE OF DOWERIN TIN DOG TERRITORY
Date:	8 March 2021	
Location:	Not applicable	
Responsible Officer:	Rebecca McCall, Chief Executive Officer	
Author:	Vanessa Green, Executive & Governance Officer	
Legislation:	<i>Local Government Act 1995; Local Government (Audit) Regulations 1996</i>	
Sharepoint Reference:	Organisation/Governance/Committees	
Disclosure of Interest:	Nil	
Attachments:	Confidential Attachment 7.1A – Application	

Purpose of Report

Executive Decision

Legislative Requirement

Summary

This Item presents the nominations for an external member to the Audit & Risk Committee (the Committee) for consideration and, if satisfactory, recommendation to Council for endorsement.

Background

On Wednesday 6 January 2020 Mr Whiteaker emailed the Shire President to advise that, with regret, he had decided to resign from the Committee. The reasons provided included Mr Whiteaker's current workload and the resultant inability to attend some meetings. Mr Whiteaker believed he was no longer able to contribute to the Committee at the level he would expect and therefore felt it was in both his and Council's best interests that he resign.

In accordance with the Committee's Terms of Reference (ToR), a new external representative was required to be identified and appointed – see below:

"The CEO is not to be a member of the Committee and may not nominate a person to be a member of the Committee, or have a person represent the CEO as a member of the Committee. Similarly, an employee is not to be a member of the Committee.

As a minimum, the Shire's Committee will consist of 4 members, being 3 Councillors and 1 external representative. The terms of the appointment should be arranged to ensure an orderly rotation and continuity of membership despite changes to Council's elected members.

All members will have full voting rights. In the event of a tie the Chairperson will have the casting vote.

The appointment of external members shall be based on the following criteria:

- 1. A suitably experienced professional who can demonstrate a high level of expertise and knowledge in financial management, risk management, governance and audit (internal and external);*

2. *Have an understanding of the duties and responsibilities of the position, ideally with respect to local government financial reporting and auditing requirements;*
3. *Have strong communication skills;*
4. *Have relevant skills and experience in providing independent audit advice; and*
5. *Be a person with no operating responsibilities with the Shire nor provide paid services to the Shire either directly or indirectly.*

The appointment and re-appointment of external members shall be made by Council by way of invitation and be for a period of up to 4 years. External members will not be appointed for more than three consecutive terms.

External members will be required to confirm they will operate in accordance with the Shire's Code of Conduct and will be required to follow Council's policies pertaining to the Committee operations.

Council may, by resolution, terminate the appointment of any external member prior to the expiry of their term if:

1. *The Committee, by majority decision, determines the member is not making a positive contribution to the Committee; or*
2. *The member is found to be in breach of the Shire's Code of Conduct or a serious contravention of the Local Government Act 1995; or*
3. *A member's conduct, action or comments brings the Shire into disrepute.*

The Chairperson of the Committee is to be appointed by majority vote of the Committee. The Chairperson can be a Councillor or an external member.

The members, taken collectively, will have a broad range of skills and experience relevant to the operations of the Shire. At least 1 member of the Committee will have accounting or related financial and/or risk management experience.

Reimbursement of approved expenses may be paid to an external member in accordance with Section 5.100 of the Local Government Act 1995.

The CEO, Manager Corporate & Community Services and/or their nominee is to attend meetings to provide advice and guidance to the Committee.

The Shire shall provide secretarial and administrative support to the Committee.

A quorum will be a majority of members.

New members will receive relevant information and briefings on their appointment to assist them meet their Committee responsibilities."

The Committee considered the matter at its January 2021 meeting where it resolved (CMRef 0343):

"That, in accordance with the Audit and Risk Committee Terms of Reference, the Audit and Risk Committee recommends to Council that it:

1. ***Notes the resignation of Mr Jason Whiteaker as the external member of the Shire of Dowerin Audit and Risk Committee;***
2. ***Conducts an advertising process calling for expressions of interest from suitably qualified and skilled persons to be appointed as an external representative to the Shire of Dowerin Audit and Risk Committee; and***
3. ***Provides formal acknowledgement in appreciation to Mr Jason Whiteaker for his advice and support provided during his tenure as the external member of the Shire of Dowerin Audit and Risk Committee."***

Council endorsed this recommendation at its January 2021 meeting (CMRef 0348) and Local Public Notice was provided on 20 January 2021 and published in the Dowerin Despatch on Thursday 11 February 2021. Nominations closed on Friday 26 February 2021.

To address point 3 of the resolution, written notice of acknowledgement and appreciation was provided to Mr Whiteaker on 20 January 2021.

Comment

At the close of nominations one application had been received. As the nomination contains personal information, in accordance with Section 5.23(2)(b) of the *Local Government Act 1995*, it is provided as a Confidential Attachment.

The Committee are expected to discuss the application and may decide to go Behind Closed Doors for that to occur.

The Committee has a number of options:

1. Accept the nomination and recommend to Council that it be endorsed;
2. Reject the nomination and re-advertise for an external representative; or
3. Reject the nomination and review its ToR to remove the requirement for an external representative.

The Officer's Recommendation is based on an assumption that the Committee may wish to revisit the advertising process in the hope of attracting some local interest.

Should the re-advertising process not result in a suitably qualified and skilled person being appointed as the Committee's external representative, the Committee could then consider reviewing its ToR.

Consultation

Local Public Notice provided on 20 January 2021 with publication in the Despatch on 11 February 2021

Rebecca McCall, Chief Executive Officer

Vanessa Green, Executive & Governance Officer

Policy Implications

Nil

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 2 & 3

Reference: L3, L4 & L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Section 5.10 of the *Local Government Act 1995* is applicable and states:

“5.10. Committee members, appointment of

(1) A committee is to have as its members –

(a) persons appointed* by the local government to be members of the committee (other than those referred to in paragraph (b)); and

(b) persons who are appointed to be members of the committee under subsection (4) or (5).

* Absolute majority required.

(2) At any given time each council member is entitled to be a member of at least one committee referred to in section 5.9(2)(a) or (b) and if a council member nominates himself or herself to be a member of such a committee or committees, the local government is to include that council member in the persons appointed under subsection (1)(a) to at least one of those committees as the local government decides.

- (3) *Section 52 of the Interpretation Act 1984 applies to appointments of committee members other than those appointed under subsection (4) or (5) but any power exercised under section 52(1) of that Act can only be exercised on the decision of an absolute majority of the council.*
- (4) *If at a meeting of the council a local government is to make an appointment to a committee that has or could have a council member as a member and the mayor or president informs the local government of his or her wish to be a member of the committee, the local government is to appoint the mayor or president to be a member of the committee.*
- (5) *If at a meeting of the council a local government is to make an appointment to a committee that has or will have an employee as a member and the CEO informs the local government of his or her wish –*
- (a) *to be a member of the committee; or*
 - (b) *that a representative of the CEO be a member of the committee,*
- the local government is to appoint the CEO or the CEO's representative, as the case may be, to be a member of the committee."*

Regulation 4 of the *Local Government (Administration) Regulations 1996* is applicable and states:

"4. Committee members, resignation of

A committee member may resign from membership of the committee by giving the CEO or the committee's presiding member written notice of the resignation."

Regulation 16 of the *Local Government (Audit) Regulations 1996* is applicable to the functions of an audit committee and states:

"16. Functions of audit committee

An audit committee has the following functions –

- (a) *to guide and assist the local government in carrying out –*
 - (i) *its functions under Part 6 of the Act; and*
 - (ii) *its functions relating to other audits and other matters related to financial management;*
- (b) *to guide and assist the local government in carrying out the local government's functions in relation to audits conducted under Part 7 of the Act;*
- (c) *to review a report given to it by the CEO under regulation 17(3) (the CEO's report) and is to –*
 - (i) *report to the council the results of that review; and*
 - (ii) *give a copy of the CEO's report to the council;*
- (d) *to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under –*
 - (i) *regulation 17(1); and*
 - (ii) *the Local Government (Financial Management) Regulations 1996 regulation 5(2)(c);*
- (e) *to support the auditor of the local government to conduct an audit and carry out the auditor's other duties under the Act in respect of the local government;*
- (f) *to oversee the implementation of any action that the local government –*
 - (i) *is required to take by section 7.12A(3); and*
 - (ii) *has stated it has taken or intends to take in a report prepared under section 7.12A(4)(a); and*
 - (iii) *has accepted should be taken following receipt of a report of a review conducted under regulation 17(1); and*
 - (iv) *has accepted should be taken following receipt of a report of a review conducted under the Local Government (Financial Management) Regulations 1996 regulation 5(2)(c);*

(g) to perform any other function conferred on the audit committee by these regulations or another written law.”

Risk Implications

Risk Profiling Theme	Failure to fulfil statutory regulations or compliance requirements
Risk Category	Compliance
Risk Description	No noticeable regulatory or statutory impact
Consequence Rating	Insignificant (1)
Likelihood Rating	Rare (1)
Risk Matrix Rating	Low (1)
Key Controls (in place)	Governance Management Framework
Action (Treatment)	Document Governance Management Framework
Risk Rating (after treatment)	Adequate

Financial Implications

Expenses associated with advertising the expression of interest were minimal and allocated to advertising at GL: 2040240 OTH GOV – Advertising & Promotion.

Section 5.100(1) of the *Local Government Act 1995* prohibits a person who is a committee member but who is not a council member or an employee to be paid a fee for attending any committee meeting. However, subject to an appropriate resolution of Council, upon submission of receipts, reimbursement of reasonable expenses in accordance with Section 5.100(2) of the *Local Government Act 1995* may be provided to the external representative.

Voting Requirements



Simple Majority



Absolute Majority

Officer's Recommendation - 7.1

That, in accordance with the Audit and Risk Committee's Terms of Reference, the Audit and Risk Committee recommends to Council that it:

- 1. Rejects the nomination received for consideration as an external representative, as presented in Confidential Attachment 7.1A; and**
- 2. Re-advertises for expressions of interest from suitably qualified and skilled persons to be appointed as an external representative to the Shire of Dowerin Audit and Risk Committee.**

7.2 Risk Dashboard Quarterly Report - March 2021

Governance & Compliance



Date:	9 March 2021
Location:	Not Applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	As above
Legislation:	<i>Local Government Act 1995</i>
Sharepoint Reference:	Compliance/Risk Management/Reporting
Disclosure of Interest:	Nil
Attachments:	Attachment 7.2A - Risk Dashboard Quarterly Report - March 2021

Purpose of Report

Executive Decision

Legislative Requirement

Summary

This Item presents the Risk Dashboard Quarterly Report to the Audit & Risk Committee for consideration and, if satisfactory, recommendation to Council for adoption.

Background

The Shire of Dowerin's Risk Management Policy, in conjunction with the Risk Management Framework, sets out the Shire's approach to the identification, assessment, management and monitoring of risks.

Appropriate governance of risk management within the Shire provides:

1. Transparency of decision making;
2. Clear identification of the roles and responsibilities of the risk management functions; and
3. An effective governance structure to support the Risk Management Framework.

The Audit & Risk Committee has a role to play and its responsibilities include:

1. Regular review of the appropriate and effectiveness of the Risk Management Framework;
2. Support Council to provide effective corporate governance;
3. Oversight of all matters that relate to the conduct of external audits; and
4. Must be independent, objective and autonomous in deliberations.

It is essential to monitor and review the management of risks as changing circumstances may result in some risks increasing or decreasing in significance. By regularly reviewing the effectiveness and efficiency of controls and appropriateness of treatment/action options selected, it can be determined if the organisation's resources are being put to the best use possible. During the quarterly reporting process, Management are required to review any risks within their area and follow up controls and treatments/actions that are mitigating those risks.

Comment

The reviewed Risk Dashboard is included as an Attachment for the Audit & Risk Committee's perusal and comment.

The review included amending the tolerance levels for the Key Performance Indicators, as discussed at Council's February 2021 Workshop. In addition, the following comments against current actions are noted:

Asset Management

Action: Implement New Fuel Stock Control System

Comment: Partially completed; purchasing of pods to be included in 2020/21 Budget Review for consideration

Business Disruption

Action: Review of Business Continuity Plan

Comment: Review completed (Refer [Item 11.4](#))

Employment Practices

Action: Review of Staff Induction process

Comment: Completion of the Review has been deferred to June 2021 to introduce a new online induction developed in consultation with LG Professionals WA and the local government sector

Action: Annual Drivers Licenses (completed checks)

Comment: 2021 check to be undertaken in March

Supplier/Contract Management

Action: Develop Appropriate Financial Reporting Tools

Comment: This action is ongoing, with the latest update being the "go live" of the Altus Payroll System effective from February 2021

Consultation

Rebecca McCall, Chief Executive Officer

Cherie Delmage, Manager Corporate & Community Services

Les Vidovich, Manager Works & Assets

Policy Implications

Council Policy 2.2 - Risk Management Policy is applicable.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 3

Reference: L5

Asset Management Plan

Identified key controls and actions associated with asset management are factored into the Asset Management Plan.

Long Term Financial Plan

Identified key controls and actions associated with financial management are factored into the Long Term Financial Plan.

Statutory Implications

The *Local Government Act 1995* and Regulations 16 and 17 of the *Local Government (Audit) Regulations* are applicable.

Risk Implications

Risk Profiling Theme	Failure to fulfil statutory regulations or compliance requirements
Risk Category	Compliance
Risk Description	No noticeable regulatory or statutory impact
Consequence Rating	Insignificant (1)
Likelihood Rating	Rare (1)
Risk Matrix Rating	Low (1)
Key Controls (in place)	Governance Management Framework; Governance Calendar
Action (Treatment)	Document Governance Framework
Risk Rating (after treatment)	Adequate

Financial Implications

Many of the actions required to manage the risks identified will require resourcing and are being progressed within current budget allocations.

Voting Requirements



Simple Majority



Absolute Majority

Officer's Recommendation - 7.2

That, in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit and Risk Committee:

1. **Receives the Risk Dashboard Quarterly Report - March 2021, as presented in Attachment 7.2A, on the progress of actions to identify risks and track treatments to manage risks at the Shire of Dowerin; and**
2. **Recommends to Council that it adopts the Risk Dashboard Quarterly Report - March 2021.**

7.3 2020 Compliance Audit Return

Governance & Compliance



Date:	8 March 2021
Location:	Not Applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	<i>Local Government Act 1995</i>
Sharepoint Reference:	Organisation/Governance/Committees/2021 March Audit & Risk Committee Meeting Organisation/Corporate Management/Reporting/2020 Compliance Audit Return
Disclosure of Interest:	Nil
Attachments:	Attachment 7.3A – Consultant’s Report Attachment 7.3B – 2020 Compliance Audit Return

Purpose of Report



Executive Decision



Legislative Requirement

Summary

This Item presents the 2020 Compliance Audit Return to the Audit & Risk Committee (the Committee) for consideration and, if satisfactory, recommendation to Council for adoption.

Background

Each year every local government is required to carry out a compliance audit in relation to the period 1 January to 31 December against the requirements of the CAR.

After the CAR has been reviewed by the Committee and presented to Council, a copy certified by the President and CEO along with the relevant section of the minutes and any additional information explaining or qualifying the CAR, is to be submitted to the Department of Local Government, Sport and Cultural Industries (DLGSC) by 31 March.

The CAR is one of the tools available to the Committee and Council in its governance monitoring role. The CAR also forms part of the DLGSC’s monitoring program. The 2020 CAR once again places emphasis on the need for the Committee and Council to be aware of and acknowledge instances of non-compliance or where full compliance was not achieved. In addition, the CAR requires Council to endorse details of remedial action either taken or proposed to be taken to prevent future like occurrences.

The 2020 CAR contains questions relating to:

1. Commercial Enterprises by Local Governments (5 questions);
2. Delegation of Power/Duty (13 questions);
3. Disclosure of Interest (21 questions);
4. Disposal of Property (2 questions);
5. Elections (Gift Register) (3 questions);
6. Finance (11 questions);
7. Integrated, Planning and Reporting (3 questions);

8. Local Government Employees (6 questions);
9. Optional Questions (10 questions); and
10. Tenders for Providing Goods and Services (24 questions).

The 2020 CAR was completed by on-site an external consultant during 27-28 January 2021 in accordance with the recommendation at the Committee's October 2020 Meeting (CMRef 0298) which was endorsed by Council at its November 2020 Meeting (CMRef 0304). The visit involved collection of documents, verification of compliance and, where useful and applicable, recommendations in relation to improve any systems and processes that the Shire may have in place.

The CAR for the period 1 January 2020 to 31 December 2020, and the consultant's report are included as an Attachment.

Comment

The 2020 CAR identified three areas of partial non-compliance, with Conway Highbury advising that:

'The Shire achieved a commendable and very high level of compliance. Of the 102 areas examined there were only three where the Shire was partially non-compliant:

1. *'Disclosure of Interest' question 13 - the Shire is required to publish register of gifts received by relevant persons (essentially councillors and employees) under s5.87A and 5.87B of the Act on its website, remove the entries where a person no longer ceases to be a councillor or employee and keep them in a separate register which the public can then inspect by attendance at the Shire office.*

The register on the Shire's website contained entries relating to former councillors and employees who are no longer relevant persons. The matter was easily fixed during the course of the site visit.

2. *'Optional' question 7 - section 5.96A(1) requires a variety of information to be placed on a local government's website. All of the matters required were present; some additions should be made to the Shire's local laws. For example, the Health local law is listed but cannot be downloaded; and local laws and amendments should be consolidated (ie a single document that includes all amendments as required by s 5.96A(1)(b)).*

There are also a small number of local laws listed on the Department of Local Government register of local laws that may still be in force but not yet repealed. It is noted that the Shire has very recently embarked on a review of its local laws and as such any consolidation and/or repeal of outdated local laws could be undertaken as part of that process.

3. *'Tenders' question 2 - asks '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 was, or was expected to be, \$250,000 or less or worth \$250,000 or less?'*

The modalities (ie requirements when making purchases within set thresholds) set out the Shire's procurement policy No 3.11 for purchases below \$5,000 provide that 'any oral quote must be supported by a written file note with all details noted.'

Based on a sample of payments made it was not entirely clear if written quotes had been consistently sought and/or oral quotes recorded for purchases below \$5,000 as required by the policy before entering into a contract, and if they had been obtained where they were stored. Best practice would be to attach a copy of the record of the quote (even a photocopy of a handwritten note by the employee making the purchase would suffice) to the purchase order or invoice. Purchases in the sample that were over \$5,000 were supported by written quotes and sighted however,

That aside, in October 2020 the Shire introduced the Altus procurement package which requires for quotes to be recorded before a PO is issued. This should substantially deal with any issues that may arise.

In addition, council should consider a small amendment to this modality to the effect that no quotes need be obtained or recorded for purchases from \$0 to (say) \$500 providing the person making the purchase is satisfied that the price is fair and reasonable.

This will deal with low risk, small purchases such as the occasional box of nails, a reticulation fitting, spare tyre or the like that under the current policy quotes are required to be obtained and recorded. These purchases should be subject to a spot check from time to time to ensure

that purchases are not split by employees to get under the threshold and that prices are in fact fair and reasonable.

Interestingly, there was one question where the CAR itself appeared to be incorrect. 'Finance' question 5 asked:

*Was the auditor's report for the financial year ended 30 June 2020 received by the **local government** by 31 December 2020?*

(Emphasis added)

The 'local government' means the council or a committee/CEO if delegated authority to exercise a power or carry out a duty. In this instance note that s7.9(1) of the Act refers to receipt of the report for the 2019/20 financial year by the President, CEO and Minister not the local government. It was received by the Shire President and CEO on 17 December 2020 and the Shire therefore complied with the regulatory requirement.

Overall, the systems and processes employed by the Shire appear robust and appropriate for a local government of its size.'

These three areas, and the remedial action taken to ensure they do not occur again, are summarised in the following table:

Category	Question	Response	Comment	Remedial Action
Disclosure of Interest	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?	No	The register on the website contained declarations from former Councillors and that should have been removed.	In addition to the SharePoint Register, there is a separate Register module on the Shire's website which contained declarations. This is duplication, hence the human error in not removing non-relevant declarations from the website Register. It is proposed to cease using the website Register and instead have a page on the website where the SharePoint Register is uploaded. This will remove the risk of having two registers and staff having to update the same information in both.
Optional	Did the CEO publish information on the local government's website in accordance with sections 5.96A(1), (2), (3), and (4)?	Yes	All of the matters required were present; however some additions should be made to the Shire's local laws - for example the Health local law is listed but cannot be downloaded; and local laws and amendments should be consolidated (ie a single document that includes all amendments as required by section 5.96A(1)(b)). There are also a small number of local laws listed on the DLGSC register of local laws that may still be in force but not yet repealed.	The Health Local Law will be consolidated and included on the website. The local laws listed on the DLGSC register have been superseded due to other legislation changes, however the process to formally repeal those local laws to remove any confusion will be undertaken as part of the current local law review process.

			It is noted that the Shire has very recently embarked on a review of its local laws and as such any consolidation and/or repeal of outdated local laws could be undertaken as part of that process.	
Tenders	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 was, or was expected to be, \$250,000 or less or worth \$250,000 or less?	Yes	Based on the sample viewed, the Shire complied with its purchasing policy albeit the recording of quotes for purchases below \$5,000 requires improvement. The Shire introduced software (Altus) in late 2020 to manage procurement processes, which amongst other things requires copies of quotes to be uploaded where required by policy and can only be overridden by the CEO. This will assist in ensuring future compliance. In addition, the Shire's procurement policy could be enhanced by adding a modality that deals with minor purchases from (say) 0 - \$500. In these cases, no quotes might be required providing the person making the purchase is satisfied that the price is fair and reasonable. At present quotes (verbal or written) are required for purchases from \$0 to \$5,000.	The suggested Policy review is noted and will be implemented in coming months. Processes to ensure hard copies of quotes are provided with purchase orders will also be developed by Management.

The 2020 CAR included 102 questions. Of these, 99 were able to be answered on the basis of complying with the legislative requirements resulting in a 97.06% success rate. This compares with 97% compliance over 104 questions in 2019, 94.7% compliance in 2018 over 95 questions and 98.9% over 94 questions in 2017.

The 2020 CAR demonstrates the Shire's ongoing commitment to statutory compliance and adequate response to non-compliance throughout the organisation.

Consultation

Conway Highbury Pty Ltd
Rebecca McCall, Chief Executive Officer
Cherie Delmage, Manager Corporate & Community Services
Vanessa Green, Executive & Governance Officer

Policy Implications

Policy 2.2 – Risk Management Policy is applicable.

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
Outcome:	3
Reference:	L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Section 7.13(1)(i) of the *Local Government Act 1995* requires local governments to carry out a compliance audit in a manner specified by Regulations.

Regulation 14 of the *Local Government (Audit) Regulations 1996* is applicable and states:

“14. Compliance audits by local governments

- (1) *A local government is to carry out a compliance audit for the period 1 January to 31 December in each year.*
- (2) *After carrying out a compliance audit the local government is to prepare a compliance audit return in a form approved by the Minister.*
- (3A) *The local government’s audit committee is to review the compliance audit return and is to report to the council the results of that review.*
- (3) *After the audit committee has reported to the council under subregulation (3A), the compliance audit return is to be –*
 - (a) *presented to the council at a meeting of the council; and*
 - (b) *adopted by the council; and*
 - (c) *recorded in the minutes of the meeting at which it is adopted.”*

Regulation 15 of the *Local Government (Audit) Regulations 1996* requires a certified copy of the CAR to be provided to the DLGSC by 31 March:

“15. Certified copy of compliance audit return and other documents to be given to Departmental CEO

- (1) *After the compliance audit return has been presented to the council in accordance with regulation 14(3) a certified copy of the return together with –*
 - (a) *a copy of the relevant section of the minutes referred to in regulation 14(3)(c); and*
 - (b) *any additional information explaining or qualifying the compliance audit,**is to be submitted to the Departmental CEO by 31 March next following the period to which the return relates.*
- (2) *In this regulation –*

certified *in relation to a compliance audit return means signed by –*

 - (a) *the mayor or president; and*
 - (b) *the CEO.”*

Risk Implications

Risk Profiling Theme	Failure to fulfil statutory regulations or compliance requirements
Risk Category	Compliance
Risk Description	No noticeable regulatory or statutory impact
Consequence Rating	Insignificant (1)
Likelihood Rating	Rare (1)
Risk Matrix Rating	Low (1)
Key Controls (in place)	Governance Management Framework
Action (Treatment)	Document Governance Management Framework
Risk Rating (after treatment)	Adequate

Financial Implications

The costs associated with the external consultant are accommodated within current budget allocations at GL: 20554 GOV Other – Consultants.

Voting Requirements

Simple Majority

Absolute Majority

Officer's Recommendation - 7.3

That, in accordance with Regulations 14 and 15 of the *Local Government (Audit) Regulations 1996*, the Audit and Risk Committee:

1. **Receives the 2020 Compliance Audit Return, as presented in Attachment 7.3B, noting the remedial action taken to address the three areas of partial non-compliance; and**
2. **Recommends to Council that it adopts the 2020 Compliance Audit Return and submits it to the Department of Local Government, Sport & Cultural Industries prior to 31 March 2021.**

7.4 Review of Business Continuity Plan

Governance & Compliance



Date:	9 March 2021
Location:	Not Applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	As above
Legislation:	<i>Local Government Act 1995; Local Government (Audit) Regulations 1996</i>
Sharepoint Reference:	Organisation/Financial Management/Internal Audit Systems & Controls/Business Continuity Plan
Disclosure of Interest:	Nil
Attachments:	Attachment 7.4A – Business Continuity Plan

Purpose of Report



Executive Decision



Legislative Requirement

Summary

This Item presents the reviewed Business Continuity Plan (BCP) to the Audit & Risk Committee (the Committee) for consideration and, if satisfactory, recommendation to Council for adoption.

Background

Council adopted the BCP at its March 2020 meeting (CMRef 0164). The Shire of Dowerin BCP is aimed at ensuring the continuity of business operations, with minimal disruption, in the event of a disaster. Without such a plan the Shire may struggle to manage such as event amidst the confusion that often follows a disaster.

The BCP provides a structured approach to business continuity and disaster recovery planning. Through the provision of preventative measures and recovery procedures, the impact of any potential disaster may be significantly reduced.

The BCP was enacted on 20 March 2020 as a result of the COVID-19 pandemic. While the focus for the organisation has been in responding to the implications of the pandemic, the BCP has recently been reviewed and a copy is included as an Attachment.

Comment

The review included the following updates and amendments:

1. Update of Key Contacts, both internal and external;
2. Removal of Dowerin Home Care Office due to the staff relocation to the Administration Office;
3. Inclusion of an Incident Response Plan for responding to a pandemic. While the situation and response will change on each occasion that this Plan may need to be enacted, as it will depend on the specifics of the type of pandemic, it is useful to include it in the BCP as a guideline.

Consultation

Senior Management Team

Policy Implications

Policy 2.2 – Risk Management Policy is applicable.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 3

Reference: L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Regulation 17 of the *Local Government (Audit) Regulations 1996* requires the CEO to review the appropriateness and effectiveness of a local government's systems and procedures in relation to risk management, internal control and legislative compliance.

The BCP is an informing plan to these systems and procedures.

Risk Implications

Risk Profiling Theme	Failure to fulfil statutory regulations or compliance requirements
Risk Category	Compliance
Risk Description	No noticeable regulatory or statutory impact
Consequence Rating	Insignificant (1)
Likelihood Rating	Rare (1)
Risk Matrix Rating	Low (1)
Key Controls (in place)	Governance Management Framework
Action (Treatment)	Document Governance Management Framework
Risk Rating (after treatment)	Adequate

Financial Implications

The actions included in the BCP will have financial implications to Council, however these are unknown and will depend on the scenario in which the BCP is to be put into effect.

Voting Requirements



Simple Majority



Absolute Majority

Officer's Recommendation - 7.4

That, in accordance with Regulation 17 of the *Local Government (Audit) Regulations 1996*, the Audit and Risk Committee:

- 1. Receives the reviewed Business Continuity Plan, as presented in Attachment 7.4A; and**
- 2. Recommends to Council that it adopts the Business Continuity Plan.**

8.	Questions from Members
9.	Urgent Business Approved by the Person Presiding or by Decision
10.	Date of the Next Meeting June 2021 at a date and time yet to be determined
11.	Closure



SHIRE OF
DOWERIN
TIN DOG TERRITORY

MINUTES

Audit & Risk Committee Meeting

Held in Council Chambers
13 Cottrell Street, Dowerin WA 6461
Tuesday 19 January 2021

ABN: 35 939 977 194

P (08) 9631 1202 E dowshire@dowerin.wa.gov.au
13 Cottrell Street, Dowerin WA 6461

 www.dowerin.wa.gov.au



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9.	Urgent Business Approved by the Person Presiding or by Decision
10.	Date of Next Meeting
11.	Closure

Shire of Dowerin
Audit & Risk Committee Meeting
Tuesday 19 January 2021



1. Official Opening

The Chair welcomed those in attendance and declared the meeting open at 10.30am.

2. Record of Attendance / Apologies / Leave of Absence

Committee Members:

Cr DP Hudson	President & Chair
Cr BA Ward	Deputy President
Cr RI Trepp	

Staff:

Ms R McCall	Chief Executive Officer
Ms C Delmage	Manager Corporate & Community Services
Ms V Green	Executive & Governance Officer

Apologies: Nil

Approved Leave of Absence: Nil

3. Public Question Time

Nil

4. Disclosure of Interest

Nil

5. Confirmation of Minutes of the Previous Meeting(s)

5.1 Audit & Risk Committee Meeting held on 28 October 2020

Attachment 5.1A

Voting Requirements

Simple Majority Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Trepp **Seconded:** Cr Ward

0340 That, in accordance with Sections 3.18 and 5.22(2) of the *Local Government Act 1995*, the Minutes of the Audit & Risk Committee Meeting held on 28 October 2020, as presented in Attachment 5.1A, be confirmed as a true and correct record of proceedings.

CARRIED 3/0

6. PRESENTATIONS

Nil

7. OFFICER'S REPORTS

7.1 2019/20 Annual Report & Annual Electors Meeting

<h1>Corporate & Community Services</h1>		 SHIRE OF DOWERIN TIN DOG TERRITORY
Date:	6 January 2021	
Location:	Not Applicable	
Responsible Officer:	Cherie Delmage, Manager Corporate & Community Services	
Author:	Vanessa Green, Executive & Governance Officer	
Legislation:	<i>Local Government Act 1995; Local Government (Audit) Regulations 1996</i>	
Sharepoint Reference:	Organisation/Corporate Management/Reporting/2019-20 Annual Report	
Disclosure of Interest:	Nil	
Attachments:	Attachment 7.1A – 2019/20 Annual Report	

Purpose of Report

Executive Decision

Legislative Requirement

Summary

This Item presents the 2019/20 Annual Report & Audited Financial Report to the Audit & Risk Committee for consideration and, if satisfactory, recommendation to Council for adoption.

Background

The annual financial statements for the year ended 30 June 2020 have been audited by the Auditors under the Office of the Auditor General (OAG).

The 2019/20 Annual Report which includes the audited financial report and OAG's Opinion Letter is included as an Attachment.

Comment

Pursuant to its Terms of Reference, it is relevant that the Audit & Risk Committee considers the 2019/20 Annual Report and where appropriate, makes recommendation(s) in respect of the report.

In accordance with Section 7.9 of the *Local Government Act 1995*, an Auditor is required to examine the accounts and annual financial report submitted by a local government for audit. The Auditor is also required, by 31 December following the financial year to which the accounts and report relate, to prepare a report thereon and forward a copy of that report to:

1. the Mayor or President;
2. the Chief Executive Officer; and
3. the Minister for Local Government.

The Opinion Letter included with the 2019/20 Annual Report provides an overview of the audit process and outcomes, whilst also identifying any matters that, whilst generally not material in

relation to the overall audit of the financial report, are nonetheless considered relevant to the day to day operations of Council.

2019/20 Annual Report

This year was the second year the Shire of Dowerin was audited by the OAG. The audit was conducted on-site from 27-29 October 2020. The process was rigorous and extensive.

This was compounded with the change in the *Local Government (Financial Management) Regulations 1996* proclaimed on 6 November 2020 and applied from 1 July 2019.

Annual Electors Meeting

Local governments are required to conduct an Annual Electors Meeting (AEM) not more than 56 days after adopting the Annual Report. A requirement of setting the date is that 14 days Local Public Notice is required for advertising the meeting. Provided that the 2019/20 Annual Report is endorsed by Council at its 19 January 2020 meeting it is recommended that the AEM be held on Thursday 4 February 2021. The date is suggested as the Dowerin Community Club has confirmed availability of the venue and school holidays will be over meaning most people will be back in the district after harvest, the festive period and holidays. It also allows enough time for the minimum 14 day notification period.

Discussion with the OAG and Auditors

Representatives from the OAG and AMD Chartered Accountants conducted the Exit Interview which discussed the Opinion Letter and other relevant matters with the President, CEO, MCCS and EGO via teleconference on Wednesday 16 December 2020.

It is pleasing to note that no matters/findings were made as a result of the audit.

Consultation

OAG / Auditors

Rebecca McCall, Chief Executive Officer

Cherie Delmage, Manager Corporate & Community Services

Vanessa Green, Executive & Governance Officer

Local Public Notice is required to be provided on the availability of the Annual Report and the Annual Electors Meeting.

Policy Implications

Nil

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 2 & 3

Reference: L3, L4 & L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Sections 5.27, 5.29, 5.53 and 5.54 of the *Local Government Act 1995* are applicable and state:

“5.27. Electors’ general meetings

- (1) *A general meeting of the electors of a district is to be held once every financial year.*
- (2) *A general meeting is to be held on a day selected by the local government but not more than 56 days after the local government accepts the annual report for the previous financial year.*
- (3) *The matters to be discussed at general electors’ meetings are to be those prescribed.*

5.29. Convening electors’ meetings

- (1) *The CEO is to convene an electors’ meeting by giving –*
 - (a) *at least 14 days’ local public notice; and*
 - (b) *each council member at least 14 days’ notice,**of the date, time, place and purpose of the meeting.*
- (2) *The local public notice referred to in subsection (1)(a) is to be treated as having commenced at the time the notice is first given and is to continue in the prescribed way until the meeting has been held.*

5.53. Annual reports

- (1) *The local government is to prepare an annual report for each financial year.*
- (2) *The annual report is to contain –*
 - (a) *a report from the mayor or president; and*
 - (b) *a report from the CEO; and*
 - [(c), (d) *deleted*]
 - (e) *an overview of the plan for the future of the district made in accordance with section 5.56, including major initiatives that are proposed to commence or to continue in the next financial year; and*
 - (f) *the financial report for the financial year; and*
 - (g) *such information as may be prescribed in relation to the payments made to employees; and*
 - (h) *the auditor’s report prepared under section 7.9(1) or 7.12AD(1) for the financial year; and*
 - (ha) *a matter on which a report must be made under section 29(2) of the Disability Services Act 1993; and*
 - (hb) *details of entries made under section 5.121 during the financial year in the register of complaints, including –*
 - (i) *the number of complaints recorded in the register of complaints; and*
 - (ii) *how the recorded complaints were dealt with; and*
 - (iii) *any other details that the regulations may require;**and*
 - (i) *such other information as may be prescribed.*

5.54. Acceptance of annual reports

- (1) *Subject to subsection (2), the annual report for a financial year is to be accepted* by the local government no later than 31 December after that financial year.*

** Absolute majority required.*

- (2) *If the auditor’s report is not available in time for the annual report for a financial year to be accepted by 31 December after that financial year, the annual report is to be accepted by the local government no later than 2 months after the auditor’s report becomes available.”*

Regulation 3A of the *Local Government (Administration) Regulations 1996* stipulates the requirements for providing Local Public Notice and states:

“3A. Requirements for local public notice (Act s. 1.7)

- (1) For the purposes of section 1.7(a), notice of a matter must be published on the local government’s official website for –
 - (a) the period specified in or under the Act in relation to the notice; or
 - (b) if no period is specified in relation to the notice – a period of not less than 7 days.
- (2) For the purposes of section 1.7(b), each of the following ways of giving notice of a matter is prescribed –
 - (a) publication in a newspaper circulating generally in the State;
 - (b) publication in a newspaper circulating generally in the district;
 - (c) publication in 1 or more newsletters circulating generally in the district;
 - (d) publication on the official website of the Department or another State agency, as appropriate having regard to the nature of the matter and the persons likely to be affected by it, for –
 - (i) the period specified in or under the Act in relation to the notice; or
 - (ii) if no period is specified in relation to the notice – a period of not less than 7 days;
 - (e) circulation by the local government by email, text message or similar electronic means, as appropriate having regard to the nature of the matter and the persons likely to be affected by it;
 - (f) exhibition on a notice board at the local government offices and each local government library in the district for –
 - (i) the period specified in or under the Act in relation to the notice; or
 - (ii) if no period is specified in relation to the notice – a period of not less than 7 days;
 - (g) posting on a social media account administered by the local government for –
 - (i) the period specified in or under the Act in relation to the notice; or
 - (ii) if no period is specified in relation to the notice – a period of not less than 7 days.”

The *Local Government (Audit) Regulations 1996* provides the legislative framework for the conduct of audits in local government, and the role of the Audit & Risk Committee in considering the results of those audits.

Risk Implications

Risk Profiling Theme	Failure to fulfil statutory regulations or compliance requirements
Risk Category	Compliance
Risk Description	No noticeable regulatory or statutory impact
Consequence Rating	Insignificant (1)
Likelihood Rating	Rare (1)
Risk Matrix Rating	Low (1)
Key Controls (in place)	Governance Management Framework
Action (Treatment)	Document Governance Management Framework
Risk Rating (after treatment)	Adequate

Financial Implications

As the Dowerin Despatch and Avon Advocate are not currently in production, costs for advertising through those papers are not applicable. The costs for notification in accordance with Regulation 3A(2)(e), (f) and (g) will be negligible and can be accommodated within current budget allocations. Similarly, any costs associated with conducting the AEM will be negligible and can be accommodated within current budget allocations.

Voting Requirements

Simple Majority

Absolute Majority

Officer's Recommendation

That, in accordance with Sections 5.27, 5.29, 5.53 and 5.54 of the *Local Government Act 1995*, the Audit & Risk Committee:

1. Accepts the 2019/20 Annual Report, as presented in Attachment 7.1A, for the 2019/20 financial year;
2. Recommends to Council that it adopts the 2019/20 Annual Report, as presented in Attachment 7.1A, for the 2019/20 financial year; and
3. Recommends to Council that it conducts its Annual Electors Meeting on Thursday 4 February 2021 at the Dowerin Community Club commencing at 6.00pm.

Resolution

Moved: Cr Ward

Seconded: Cr Trepp

0341 That, in accordance with Sections 5.27, 5.29, 5.53 and 5.54 of the *Local Government Act 1995*, the Audit & Risk Committee:

1. Accepts the 2019/20 Annual Report, as presented in Attachment 7.1A, for the 2019/20 financial year;
2. Recommends to Council that it adopts the 2019/20 Annual Report, as presented in Attachment 7.1A, for the 2019/20 financial year; and
3. Recommends to Council that it conducts its Annual Electors Meeting on Wednesday 3 February 2021 at the Dowerin Community Club commencing at 6.00pm.

CARRIED BY ABSOLUTE MAJORITY 3/0

Reason

The Committee believed that a change in date may be more suitable for some in the community.

7.2 Risk Dashboard Quarterly Report - December 2020

<h1>Governance & Compliance</h1>		 SHIRE OF DOWERIN TIN DOG TERRITORY
Date:	14 January 2021	
Location:	Not Applicable	
Responsible Officer:	Rebecca McCall, Chief Executive Officer	
Author:	As above	
Legislation:	<i>Local Government Act 1995</i>	
Sharepoint Reference:	Compliance/Risk Management/Reporting	
Disclosure of Interest:	Nil	
Attachments:	<u>Attachment 7.2A</u> - Risk Dashboard Quarterly Report - December 2020	

Purpose of Report

Executive Decision

Legislative Requirement

Summary

This Item presents the Risk Dashboard Quarterly Report to the Audit & Risk Committee for consideration and, if satisfactory, recommendation to Council for adoption.

Background

The Shire of Dowerin's Risk Management Policy, in conjunction with the Risk Management Framework, sets out the Shire's approach to the identification, assessment, management and monitoring of risks.

Appropriate governance of risk management within the Shire provides:

1. Transparency of decision making;
2. Clear identification of the roles and responsibilities of the risk management functions; and
3. An effective governance structure to support the Risk Management Framework.

The Audit & Risk Committee has a role to play and its responsibilities include:

1. Regular review of the appropriate and effectiveness of the Risk Management Framework;
2. Support Council to provide effective corporate governance;
3. Oversight of all matters that relate to the conduct of external audits; and
4. Must be independent, objective and autonomous in deliberations.

It is essential to monitor and review the management of risks as changing circumstances may result in some risks increasing or decreasing in significance. By regularly reviewing the effectiveness and efficiency of controls and appropriateness of treatment/action options selected, it can be determined if the organisation's resources are being put to the best use possible. During the quarterly reporting process, Management are required to review any risks within their area and follow up controls and treatments/actions that are mitigating those risks.

Comment

The reviewed Risk Dashboard is included as an Attachment for the Audit & Risk Committee’s perusal and comment.

Management has implemented minor modifications to the risk profiling template. The risk profiles now include control assurances to improve the effectiveness of the Dashboard. Control Assurance is a critical component of a robust management framework, providing the organisation with objective evidence that controls are in place and operating adequately as a basis for signing off on the adequacy of controls over risks. The indicator metrics and terminology were difficult to effectively identify risk appetite, targets, trends and results. To address this the profiling template has been amended to easily recognise risk tolerance, latest result and trend. Template improvements include the due and extension dates for actions so the status can be easily tracked.

Consultation

Rebecca McCall, Chief Executive Officer
 Cherie Delmage, Manager Corporate & Community Services
 Les Vidovich, Manager Works & Assets

Policy Implications

Council Policy 2.2 – Risk Management Policy is applicable.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders
 Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
 Outcome: 3
 Reference: L5

Asset Management Plan

Identified key controls and actions associated with asset management are factored into the Asset Management Plan.

Long Term Financial Plan

Identified key controls and actions associated with financial management are factored into the Long Term Financial Plan.

Statutory Implications

The *Local Government Act 1995* and Regulations 16 and 17 of the *Local Government (Audit) Regulations* are applicable.

Risk Implications

Risk Profiling Theme	Failure to fulfil statutory regulations or compliance requirements
Risk Category	Compliance
Risk Description	No noticeable regulatory or statutory impact
Consequence Rating	Insignificant (1)

Likelihood Rating	Rare (1)
Risk Matrix Rating	Low (1)
Key Controls (in place)	Governance Management Framework; Governance Calendar
Action (Treatment)	Document Governance Framework
Risk Rating (after treatment)	Adequate

Financial Implications

Many of the actions required to manage the risks identified will require resourcing and are being progressed within current budget allocations.

Voting Requirements

Simple Majority Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Ward **Seconded:** Cr Trepp

0342 That, in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit and Risk Committee:

1. Receives the Risk Dashboard Quarterly Report - December 2020, as presented in Attachment 7.2A, on the progress of actions to identify risks and track treatments to manage risks at the Shire of Dowerin; and
2. Recommends to Council that it adopts the Risk Dashboard Quarterly Report - December 2020.

CARRIED 3/0

7.3 Resignation of External Member

Governance & Compliance



Date:	7 January 2021
Location:	Not Applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	<i>Local Government Act 1995</i>
Sharepoint Reference:	Organisation/Governance/Committees
Disclosure of Interest:	Nil
Attachments:	Nil

Purpose of Report

Executive Decision

Legislative Requirement

Summary

This Item presents a proposal to recruit an external member to the Shire of Dowerin Audit & Risk Committee following the resignation of the current external member to the Audit & Risk Committee for consideration and, if satisfactory, recommendation to Council for adoption.

Background

The *Local Government Act 1995* requires that an audit committee is to consist of a minimum of 3 members and in that situation all must be council members. Where a committee consists of more than 3 members then a majority of those members must be council members. Local governments may decide to appoint a committee involving only elected members or they may appoint one or more persons who are external to Council. If Council considers it appropriate, the whole Council can be appointed to the audit committee.

If the local government wishes to appoint one or more persons other than elected members to the committee, which is something the Department of Local Government, Sport & Cultural Industries recommends, it should ensure that they have the requisite knowledge and skills to provide benefit to the committee.

On 17 May 2016, Ms Jenni Law, the (then) Director of Local Government Regulation and Support from the (also then) Department of Local Government and Communities presented to the Finance Committee Meeting. At this meeting Ms Law outlined and clarified the role of an audit committee. Based on Ms Law's recommendations and advice, the Terms of Reference (ToR) for the Shire's Audit Committee were reviewed and endorsed by the Committee at its July 2016 meeting.

The updated ToR recommended that Council co-opt a suitably qualified and skilled external representative to the Committee. The Committee suggested a few people it believed were suitable for the position and contact was made with those individuals. As a result, Mr Jason Whiteaker, CEO at the Shire of Northam, accepted the invitation as the Committee's external representative, with the appointment being endorsed by Council at its July 2016 meeting (Item 10.1.3).

On Wednesday 6 January 2020 Mr Whiteaker emailed the Shire President to advise that, with regret, he had decided to resign from the Shire of Dowerin Audit & Risk Committee. The reasons provided include Mr Whiteaker's current workloads and the resultant inability to attend some

meetings. Mr Whiteaker believed he was no longer able to contribute to the Committee at the level he would expect and therefore felt it was in both his and Council's best interests that he resign.

While the resignation is unfortunate, it is completely understandable as the time constraints and other obligations on the CEO of the Shire of Northam would be considerable, meaning finding the time to commit to an external committee would indeed be challenging.

In accordance with the Committee's ToR, a new external representative will need to be identified and appointed.

Comment

The Terms of Reference for the Shire's Audit & Risk Committee, in respect to membership, state:

"The CEO is not to be a member of the Committee and may not nominate a person to be a member of the Committee, or have a person represent the CEO as a member of the Committee. Similarly, an employee is not to be a member of the Committee.

As a minimum, the Shire's Committee will consist of 4 members, being 3 Councillors and 1 external representative. The terms of the appointment should be arranged to ensure an orderly rotation and continuity of membership despite changes to Council's elected members.

All members will have full voting rights. In the event of a tie the Chairperson will have the casting vote.

The appointment of external members shall be based on the following criteria:

- 1. A suitably experienced professional who can demonstrate a high level of expertise and knowledge in financial management, risk management, governance and audit (internal and external);*
- 2. Have an understanding of the duties and responsibilities of the position, ideally with respect to local government financial reporting and auditing requirements;*
- 3. Have strong communication skills;*
- 4. Have relevant skills and experience in providing independent audit advice; and*
- 5. Be a person with no operating responsibilities with the Shire nor provide paid services to the Shire either directly or indirectly.*

The appointment and re-appointment of external members shall be made by Council by way of invitation and be for a period of up to 4 years. External members will not be appointed for more than three consecutive terms.

External members will be required to confirm they will operate in accordance with the Shire's Code of Conduct and will be required to follow Council's policies pertaining to the Committee operations.

Council may, by resolution, terminate the appointment of any external member prior to the expiry of their term if:

- 1. The Committee, by majority decision, determines the member is not making a positive contribution to the Committee; or*
- 2. The member is found to be in breach of the Shire's Code of Conduct or a serious contravention of the Local Government Act 1995; or*
- 3. A member's conduct, action or comments brings the Shire into disrepute.*

The Chairperson of the Committee is to be appointed by majority vote of the Committee. The Chairperson can be a Councillor or an external member.

The members, taken collectively, will have a broad range of skills and experience relevant to the operations of the Shire. At least 1 member of the Committee will have accounting or related financial and/or risk management experience.

Reimbursement of approved expenses may be paid to an external member in accordance with Section 5.100 of the Local Government Act 1995.

The CEO, Manager Corporate & Community Services and/or their nominee is to attend meetings to provide advice and guidance to the Committee.

The Shire shall provide secretarial and administrative support to the Committee.

A quorum will be a majority of members.

New members will receive relevant information and briefings on their appointment to assist them meet their Committee responsibilities."

It is suggested that expressions of interest via Local Public Notice be called to identify interested people who meet the above criteria for appointment as the Committee's external representative. The reason for this recommendation is one of impartiality, in that by seeking an external representative via a public expression of interest process, there can be limited claims of bias or preference and may generate interest from members of the public who may not otherwise be considered.

Alternatively, the Committee may wish to nominate specific individuals it believes would be suitably skilled and qualified to meet the above criteria, for contact to be made with those persons.

During his tenure as an external member of the Audit & Risk Committee, Mr Whiteaker's advice and support have been invaluable and greatly appreciated. Such advice has enabled and assisted in various improvements being implemented to the Shire's risk management and integrity systems and controls.

Consultation

Cr Darrel Hudson, Shire President and Audit & Risk Committee Chair
Rebecca McCall, Chief Executive Officer
Cherie Delmage, Manager Corporate & Community Services
Vanessa Green, Executive & Governance Officer

Policy Implications

Nil

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 3

Reference: L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Section 5.10 of the *Local Government Act 1995* is applicable and states:

“5.10. Committee members, appointment of

- (1) *A committee is to have as its members –*
 - (a) *persons appointed* by the local government to be members of the committee (other than those referred to in paragraph (b)); and*
 - (b) *persons who are appointed to be members of the committee under subsection (4) or (5).*

** Absolute majority required.*

- (2) *At any given time each council member is entitled to be a member of at least one committee referred to in section 5.9(2)(a) or (b) and if a council member nominates himself or herself to be a member of such a committee or committees, the local government is to include that council member in the persons appointed under subsection (1)(a) to at least one of those committees as the local government decides.*

- (3) *Section 52 of the Interpretation Act 1984 applies to appointments of committee members other than those appointed under subsection (4) or (5) but any power exercised under section 52(1) of that Act can only be exercised on the decision of an absolute majority of the council.*
- (4) *If at a meeting of the council a local government is to make an appointment to a committee that has or could have a council member as a member and the mayor or president informs the local government of his or her wish to be a member of the committee, the local government is to appoint the mayor or president to be a member of the committee.*
- (5) *If at a meeting of the council a local government is to make an appointment to a committee that has or will have an employee as a member and the CEO informs the local government of his or her wish –*
 - (a) *to be a member of the committee; or*
 - (b) *that a representative of the CEO be a member of the committee,**the local government is to appoint the CEO or the CEO's representative, as the case may be, to be a member of the committee."*

Regulation 4 of the *Local Government (Administration) Regulations 1996* is applicable and states:

"4. Committee members, resignation of

A committee member may resign from membership of the committee by giving the CEO or the committee's presiding member written notice of the resignation."

Regulation 16 of the *Local Government (Audit) Regulations 1996* is applicable to the functions of an audit committee and states:

"16. Functions of audit committee

An audit committee has the following functions –

- (a) *to guide and assist the local government in carrying out –*
 - (i) *its functions under Part 6 of the Act; and*
 - (ii) *its functions relating to other audits and other matters related to financial management;*
- (b) *to guide and assist the local government in carrying out the local government's functions in relation to audits conducted under Part 7 of the Act;*
- (c) *to review a report given to it by the CEO under regulation 17(3) (the CEO's report) and is to –*
 - (i) *report to the council the results of that review; and*
 - (ii) *give a copy of the CEO's report to the council;*
- (d) *to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under –*
 - (i) *regulation 17(1); and*
 - (ii) *the Local Government (Financial Management) Regulations 1996 regulation 5(2)(c);*
- (e) *to support the auditor of the local government to conduct an audit and carry out the auditor's other duties under the Act in respect of the local government;*
- (f) *to oversee the implementation of any action that the local government –*
 - (i) *is required to take by section 7.12A(3); and*
 - (ii) *has stated it has taken or intends to take in a report prepared under section 7.12A(4)(a); and*
 - (iii) *has accepted should be taken following receipt of a report of a review conducted under regulation 17(1); and*
 - (iv) *has accepted should be taken following receipt of a report of a review conducted under the Local Government (Financial Management) Regulations 1996 regulation 5(2)(c);*

(g) to perform any other function conferred on the audit committee by these regulations or another written law.”

Risk Implications

Risk Profiling Theme	Failure to fulfil statutory regulations or compliance requirements
Risk Category	Compliance
Risk Description	No noticeable regulatory or statutory impact
Consequence Rating	Insignificant (1)
Likelihood Rating	Rare (1)
Risk Matrix Rating	Low (1)
Key Controls (in place)	Governance Management Framework
Action (Treatment)	Document Governance Management Framework
Risk Rating (after treatment)	Adequate

Financial Implications

Expense will be incurred for advertising the expression of interest, however these costs are expected to be minimal and can be accommodated within the current allocation for advertising at GL: 2040240 OTH GOV - Advertising & Promotion.

Voting Requirements

Simple Majority Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Trepp **Seconded:** Cr Ward

0343 That, in accordance with the Audit and Risk Committee Terms of Reference, the Audit and Risk Committee recommends to Council that it:

1. Notes the resignation of Mr Jason Whiteaker as the external member of the Shire of Dowerin Audit and Risk Committee;
2. Conducts an advertising process calling for expressions of interest from suitably qualified and skilled persons to be appointed as an external representative to the Shire of Dowerin Audit and Risk Committee; and
3. Provides formal acknowledgement in appreciation to Mr Jason Whiteaker for his advice and support provided during his tenure as the external member of the Shire of Dowerin Audit and Risk Committee.

CARRIED 3/0

8.	Questions from Members
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Nil

9.	Urgent Business Approved by the Person Presiding or by Decision
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Nil

10.	Date of the Next Meeting
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To be held on Monday 15 March 2021 commencing at 4.00pm.

11.	Closure
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There being no further business the Chair thanked those in attendance and declared the meeting closed at 11.06am.

Shire of Dowerin Risk Dashboard Report - March 2021

Asset Management Practices			Risk	Control
			Moderate	Adequate
Failure or reduction in service of infrastructure assets, plant, equipment or machinery. These include fleet, buildings, roads and playgrounds and all other assets during their lifecycle from procurement to disposal.				
Actions	Due Date	Responsibility		
Revaluation of Road Assets	Dec-19	MWA		
Update RAMM Annually	Jun-21	MWA		
Link Building Maintenance Schedule to AMP	Apr-21	MWA; MCCS		
Review Asset Management Plan	Apr-21	SMT		
Develop Revaluation Schedule for Asset Classes	Jun-21	MWA; MCCS		
Review LTFP and Link to AMP	Feb-21	MCCS / MWA / CEO		
Review Fuel Stock Control System	Apr-21	MCCS; MWA; CEO		
Implement New Fuel Stock Control System	Feb-21	MWA / MCCS		

Business Disruption			Risk	Control
			Moderate	Adequate
Failure to adequately prepare and respond to events that cause disruption to the local community and / or normal business activities. This could be a natural disaster, weather event, or an act carried out by an external party (e.g. sabotage / terrorism).				
Actions	Due Date	Responsibility		
Annual LEM Exercise Undertaken	TBD	CEO		
Review Business Continuity Plan	Mar 21	CEO		
Business Continuity Plan Drill to be Undertaken Annually	Dec 22	CEO; MCCS		
Develop IT Disaster Recovery Plan	Jun 21	MCCS		
Fire Breaks Inspected and Enforced Annually	Nov 21	MCCS		
Fire Fighting Equipment Maintained and Serviced Annually	Mar-Apr 21	MWA		
Wardens (Internal) - Training of New Wardens	Jun 21	SMT		
Admin Generator Maintained and Serviced	Monthly	MWA		
Review Managing Emergencies in Shire Facilities	Dec 21	CEO; MCCS		

Failure to fulfil Compliance Requirements - (Statuton			Risk	Control
			Moderate	Adequate
Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated internal & public domain legal documentation.				
Actions	Due Date	Responsibility		
Document Governance Framework	Dec-21	CEO; EGO		
Continue Implementation of Training Program for Councillors and Staff	Ongoing	SMT; EGO		
Review Councillor Induction Manual - Every 2 Years	Aug-21	EGO		
Review Human Resource Management Framework	Feb-21	CEO; MCCS		
Review Information Management System	Feb-21	MCCS		
Interim Audit Finding 30 June 2020 - Code of Conduct - Review		EGO		
Interim Audit Finding 30 June 2020 - Purchasing & Payment Procedures	Sep-20	CEO; MCCS		
Interim Audit Finding 30 June 2020; Debtor & Credit Request Forms	Sep-20	MCCS		
Interim Audit Finding 30 June 2020 - Review of LTFP & AMP	Dec-20	MCCS; MWA		

Document Management Processes			Risk	Control
			Moderate	Adequate
Failure to adequately capture, store, archive, retrieve, provide or dispose of documentation.				
Actions	Due Date	Responsibility		
Investigate Upgrades Required to Archive Room to Improve Compliance With SRO	Jun-20	MCCS		
Refurbishment of Archive Room to Improve Compliance	Jun-21	MWA		
Review Sharepoint System	Jun-21	CEO		
Review Information Management Framework	Dec-21	CDO		
Information Management Staff Training	Ongoing	MCCS		
Review Record Keeping Plan	Jun-21	MCCS		

Employment Practices			Risk	Control
			Moderate	Adequate
Failure to effectively manage and lead human resources (full-time, part-time, casuals, temporary and volunteers).				
Actions	Due Date	Responsibility		
Develop a Health and Wellbeing Program	Jun-21	SMT		
Review Workforce Plan	Apr-21	SMT		
Create Checklist for Human Resource Management Framework	Jun-21	SMT		
Update Training Register & Develop 2021/2022 Training Program	Mar-21	CEO; MCCS		
Review Staff Induction Process	Feb-21	MCCS		
Conduct Annual Drivers License Checks	Annually in Feb	MCCS		
Conduct Annual Performance Reviews	Annually in Feb	SMT		

Engagement Practices			Risk	Control
			Moderate	Adequate
Failure to maintain effective working relationships with the Community (including local Media), Stakeholders, Key Private Sector Companies, Government Agencies and / or Elected Members. This includes activities where communication, feedback or consultation is required and where it is in the best interests to do so.				
Actions	Due Date	Responsibility		
Review Community Complaints, Feedback & Request Handling Process	Jun-21	CEO / MCCS		
Develop a Community Engagement Policy & Framework	Mar-21	SMT / CDO		
Conduct Community Satisfaction Survey	Jun-20	CEO / CDO		
Develop Process For Customer Response Requests (Snap, Send, Solve)	Mar-20	MCCS		
Review Customer Service Charter (every two years)	Jun-20	MCCS		
Review Customer Service Charter (every two years)	Sep-22	EGO		
Develop Complaint Register (in accordance to Act)	Jun-20	MCCS		

Environment Management			Risk	Control
			Moderate	Adequate
Inadequate prevention, identification, enforcement and management of environmental issues.				
Actions	Due Date	Responsibility		
Develop Waste Water Management Plan & Program	Dec-20	MWA		
Develop Waste Management Plan & Program	Dec-21	MWA		
Complete Audit of Sewage System	Completed	MWA		
Address Compliance of Waste Management	Ongoing	MWA		
Address Compliance of Waste Water Re-Use	Jun-21	MWA		

Errors, Omissions & Delays			Risk	Control
			Moderate	Adequate
Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process including incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff.				
Actions	Due Date	Responsibility		
Review Code of Conduct	Jul-21	CEO / EGO		
Review and Document Organisations Controls and Systems	Ongoing	CEO / MCCS		
Centralise Checklists, Controls and Procedures	Jun-21	CEO / MCCS		
Review Customer Service Complaints & Request Process to include Snap Send Solve	Jun-21	MCCS		

External Theft & Fraud (Including Cyber)			Risk	Control
			Moderate	Adequate
Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means (including electronic).				
Actions	Due Date	Responsibility		
Review Access Controls to Include Key Register	Dec-21	CEO; MCCS		
Photographic Record of Minor Assets & Align With Minor Assets Register	Jun-21	MCCS		
Implement Quarterly Schedule For Changing Passwords	Ongoing	MCCS		
Review Security and Storage of Records	Aug-21	MCCS		
Document Financial Management System	Oct-21	MCCS		

Management of Facilities / Venues / Events			Risk	Control
			Low	Adequate
Failure to effectively manage the day to day operations of facilities, venues and / or events.				

IT or Communication Systems and Infrastructure			Risk	Control
			Moderate	Adequate
Disruption, financial loss or damage to reputation from a failure of information technology systems. Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the community. This may or may not result in IT Disaster Recovery Plans being invoked.				

Misconduct			Risk	Control
			Moderate	Adequate
Intentional activities intended to circumvent the Code of Conduct or activities in excess of authority, which circumvent endorsed policies, procedures or delegated authority.				

Shire of Dowerin Risk Dashboard Report - March 2021

Actions	Due Date	Responsibility
Develop Event Mangement Framework	Dec-21	CDO
Develop Reserves Management Register	Dec-21	MCCS / MWA
Create Inspection and Maintenance Schedules for Event Equipment	Jun-21	CDO
Undertake Community Facilities Review	Apr-21	CEO / CDO
Public Buildings Inspected Annually for Compliance	Nov-21	MWA

Actions	Due Date	Responsibility
Develop IT Disaster Recovery Plan	Jun-21	MCCS
Review IT Management Service Level Agreement	Jun-21	MCCS
Document IT Infrastructure Replacement Program	Jun-21	MCCS
Develop Secure Password Procedure	Jun-21	MCCS
Develop Secure Password Procedure	Jun-20	MCCS
Replacemrent of Phone System	Sep-21	MCCS
Document IT System Access Framework	Jun-21	MCCS

Actions	Due Date	Responsibility
Review and Document Organisations Controls and Systems	Ongoing	CEO / MCCS
Centralise Checklists, Controls and Procedures	Jun-21	CEO / MCCS
Review Fuel Stock Control and Process	Apr-21	MCCS / MWA
Present Regulation 17 Review to Audit & Risk Committee - Annually	December pa	CEO
Review Purchasing Policy & Procurement Process	Jul-22	MCCS
Review Social Media Policy 3.11	Apr-22	EGO
Review Code of Conduct	Jul-21	CEO / EGO
Conduct Drivers Licence Check Annually	February pa	MCCS/MWA

Project / Change Management	Risk	Control
	Moderate	Adequate
Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time delays or scope changes.		
Actions	Due Date	Responsibility
Develop Project Management Methodology and Framework	Dec-21	MCCS
Develop Communication and Engagement Framework	Mar-21	CEO / CDO

Safety and Security Practices	Risk	Control
	Moderate	Adequate
Non-compliance with the Occupation Safety & Health Act, associated regulations and standards. It is also the inability to ensure the physical security requirements of staff, contractors and visitors. Other considerations are negligence or carelessness.		
Actions	Due Date	Responsibility
Review Hazard Register	Dec-21	MWA / TWC
Complete Staff Training Register	Jun-20	SMT
Conduct Quarterly Workplace Inspections	Quarterly	MWA / TWC
Safe Work Method Statements (SWMS) Library	Ongoing	MWA / TWC
Assess Shire Building and Facility Safety and Security	Dec-21	MWA / TWC
Develop Isolated Worker Management Protocol	Jun-21	MWA / TWC
Re-Establish OSH Committee & Conduct Monthly Meetings	Monthly	MWA / TWC
Develop Facility Risk Management Plan	Dec-21	CEO
Conduct Annual BCP and LEMC Drills	Dec-21	CEO
Review Contractor Inductions and Register	Dec-21	MWA / TWC

Supplier / Contract Management	Risk	Control
	Moderate	Adequate
Inadequate management of external Suppliers, Contractors, IT Vendors or Consultants engaged for core operations. This includes issues that arise from the ongoing supply of services or failures in contract management & monitoring processes.		
Actions	Due Date	Responsibility
Review Purchasing Policy	Completed	CEO; MCCS
Develop Standardised Contracts	Ongoing	CEO; MCCS
Document Financial Controls	Ongoing	MCCS
Develop Appropriate Financial Reporting Tools	Ongoing	MCCS
Develop Centralised Contract Management System	Ongoing	CEO; MCCS

Asset Management Practices

Mar-21

Risk Context

Failure or reduction in service of infrastructure assets, plant, equipment or machinery. These include fleet, buildings, roads and playgrounds and all other assets during their lifecycle from procurement to disposal.

Areas included in the scope are;

- Inadequate design (not fit for purpose)
- Ineffective usage (down time)
- Outputs not meeting expectations
- Inadequate maintenance activities.
- Inadequate financial management and planning (capital renewal plan).

It does not include issues with the inappropriate use of the Plant, Equipment or Machinery. Refer Misconduct.

Potential causes include;

Skill level & behaviour of operators	Unavailability of parts
Lack of trained staff	Lack of timely & appropriate maintenance / inspections
Outdated equipment	Unexpected breakdowns
Insufficient budget to maintain or replace assets	

Key Controls	Type	Last Reviewed	Rating
Roads Maintenance Program	Preventative	Jun-20	Adequate
Road Asset Management Program (RAMM)	Preventative	Apr-20	Adequate
Fleet and Plant Maintenance Program	Preventative	Jun-20	Adequate
Building Maintenance Program	Preventative	Jun-20	Adequate
Asset Management Plan	Preventative	Jun-18	Inadequate
Plant Replacement Program	Preventative	Jun-20	Adequate
Sewerage Maintenance Plan & Program	Preventative	Oct-19	Inadequate
Stock Control Systems (Fuel)	Preventative	May-20	Inadequate
Overall Control Ratings:			Adequate

Actions (Treatments)	Due Date	Responsibility
Revaluation of Road Assets	Dec-19	MWA
Revaluation of Sewerage System	Dec-22	MWA
Update RAMM Annually	Jun-21	MWA
Link Building Maintenance Schedule to AMP	Apr-21	MWA; MCCA
Review Asset Management Plan	Apr-21	SMT
Develop Revaluation Schedule for Asset Classes	Jun-21	MWA; MCCA
Review LTFP and Link to AMP	Apr-21	MCCA; MWA; CEO
Review Fuel Stock Control System	May-20	MWA; MCCA
Implement New Fuel Stock Control System	Feb-21	MWA

Key Performance Indicators	Tolerance	Latest Result	Trend
Asset Renewal Funding Ratio	95%-105%	135%	Worsening
Asset Consumption Ratio	60%-75%	95%	Improving
Asset Sustainability Ratio	90%-110%	143%	Improving
AMP & LTFP	Reviewed Annually	Not Completed	Constant
Accidents and / or Damage to Property	<2 Per Quarter	8	Improving

Residual Risk Rating

Consequence Category	Risk Ratings	Rating
Financial	Consequence:	Moderate (3)
	Likelihood:	Possible (3)
	Overall Risk Ratings:	Moderate

Objective:

Maintain assets at a suitable level from procurement to disposal.

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
MWA	Yes	Yes	Yes	Yes	No	
MWA	Yes	Yes	Yes	Yes	No	
MWA	Yes	Partial	Partial	No	No	
MWA	Yes	Yes	Partial	Yes	No	
MWA; MCCA	Yes	Yes	No	No	No	
MWA	Yes	Yes	Yes	Yes	No	
MWA	No	No	No	No	No	
MWA; MCCA	Partial	Partial	No	No	Partial	Current system subject to fraud

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Completed			Completed 2020; next due within 5 years
			New Action: To be costed & included in 21/22 budget deliberations
			New Action: Condition data & 21/22 works program to be entered June 2021
Dec-20	Apr-21		IPR NEWROC Masterclass; deferred due date April 2021
Mar-20	Dec-20	Apr-21	IPR NEWROC Masterclass; deferred due date April 2021
			New Action
Jun-20	Feb-21	Apr-21	IPR NEWROC Masterclass; deferred due date April 2021
Completed			Review identified control deficiencies
Nov-20	Feb-21		Partially completed; purchasing of pods included in budget review

KPI / Action Data			
2020	2021	2022	Comments
135%			30 June 2019 Actuals
95%			30 June 2019 Actuals
143%			30 June 2019 Actuals
Not Completed			IPR NEWROC Masterclass; deferred due date April 2021
8			Result December 2020 - 8 / Review OHS procedures commenced

Additional / Final Comments

Reviewed by Management Team - March 2021
 Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies

Business & Community Disruption **March 21**

Risk Context

Failure to adequately prepare and respond to events that cause disruption to the local community and / or normal business activities. This could be a natural disaster, weather event, or an act carried out by an external party (e.g. sabotage / terrorism).

This includes;

- Lack of (or inadequate) emergency response / business continuity plans.
- Lack of training for specific individuals or availability of appropriate emergency response.
- Failure in command and control functions as a result of incorrect initial assessment or untimely awareness of incident.
- Inadequacies in environmental awareness and monitoring of fuel loads, curing rates etc

This does not include disruptions due to IT Systems or infrastructure related failures - refer "Failure of IT & communication systems and infrastructure".

Objective: To continue delivery of critical services at acceptable levels following a disruption

Potential causes include;

Cyclone, storm, fire, earthquake	Extended utility outage
Terrorism / sabotage / criminal behaviour	Economic factors
Epidemic / pandemic	Loss of key staff
Loss of suppliers	Loss of key infrastructure

Key Controls	Type	Last Reviewed	Rating
Local Emergency Management Arrangements (LEMA)	Preventative	Oct 19	Adequate
Business Continuity Plan	Preventative	Mar 21	Adequate
Managing Emergencies in Shire Facilities	Preventative	Dec 19	Adequate
Overall Control Ratings:			Adequate

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Yes	Yes	Yes	Yes		Fraud not relevant
CEO	Yes	Yes	Yes	Yes		Fraud not relevant
CEO	Yes	Yes	Yes	Yes		Fraud not relevant

Actions (Treatments)	Due Date	Responsibility
Annual LEM Exercise Undertaken	TBD	CEO
Review Business Continuity Plan	Mar 21	CEO
Business Continuity Plan Drill to be Undertaken Annually	Dec 22	CEO; M CCS
Develop IT Disaster Recovery Plan	Jun 21	M CCS
Fire Breaks Inspected and Enforced Annually	Nov 21	M CCS
Fire Fighting Equipment Maintained and Serviced Annually	Mar-Apr 21	M WA
Wardens (Internal) - Training of New Wardens	Jun 21	S MT
Admin Generator Maintained and Serviced	Monthly	M WA
Review Managing Emergencies in Shire Facilities	Dec 21	CEO; M CCS

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Apr-20	TBD		Deferred due to COVID19; waiting for DFES availability
Feb-21	Completed		BCP activated March 2020 in response to COVID19
Oct-19	Completed		COVID-19 response treated as BCP exercise; Next due April 2022
Dec-20	Jun-21		To be actioned within scope of new IT Management Contract
N/A			Last inspected November 2020
N/A			Inspections completed
Oct-19	Jun-20	Dec-20	Admin wardens nominated; First Aid Training completed
Monthly	NA	NA	Inspection completed; need to implement monthly monitoring system
Jun-20	Dec-21		Allocation in 2021/22 budget deliberations

Key Performance Indicators	Tolerance	Latest Result	Trend
Missed LEMC Committee Meetings	1 per annum	1	Constant
Number of Firebreak Infringements Issued	5 per annum	2	Improving
LEM Annual Exercise Undertaken	1 per annum	Nil	Worsening
BCP Annual Exercise Undertaken	1 per annum	1	Constant

KPI / Action Data			
2020	2021	2022	Comments
1			November 2020 meeting not held due to no matters to discuss
2			5 Infringements issued in 2019; 2 Infringements in 2020
Nil			Scheduled for October 2020, DFES unable to conduct due to COVID-19
1			COVID-19 response treated as BCP exercise

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Service Interruption; Reputation; Financial	Consequence:	Moderate (3)
	Likelihood:	Possible (3)

Additional / Final Comments

Reviewed by Management Team - March 2021

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies

Overall Risk Ratings: Moderate

Failure to fulfil Compliance Requirements - (Statutory and Regulatory)

March 21

Risk Context

Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated internal & public domain legal documentation.

It includes (amongst others) the Local Government Act, Planning & Development Act, Health Act, Building Act, Dog Act, Cat Act, Freedom of Information Act and all other legislative based obligations for Local Government.

It does not include Occupational Safety & Health Act (refer "Inadequate safety and security practices") or any Employment Practices based legislation (refer "Ineffective Employment practices").

Objective:

Compliance with Statutory and Regulatory Local Government obligations, including the Local Government Act, Planning & Development Act, Health Act, Building Act and Freedom of Information Act

Potential causes include;

Lack of training, awareness and knowledge	Lack of Legal Expertise
Staff / Councillor Turnover	No Compliance Officer or person responsible for Compliance oversight and enforcement
Inadequate record keeping / failure of corporate electronic systems	Breakdowns in the tender or procurement process
Ineffective policies & processes	Ineffective monitoring of changes to legislation

Key Controls	Type	Last Reviewed	Rating
Governance Management Framework	Preventative	Ongoing	Adequate
Information Management System	Preventative	Unknown	Adequate
Human Resource Management Framework	Preventative	Ongoing	Adequate
Access to Accurate & Current Legislation & Regulations	Preventative	Jun-20	Adequate
Governance Calendar	Preventative	Ongoing	Adequate
Council & Staff Inductions	Preventative	Feb-20	Adequate
Overall Control Ratings:			Adequate

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Partial	Partial	Partial	Partial	No	
CEO; MCCS	Partial	Partial	Partial	Partial	No	
EGO	No	No	Yes	Yes	No	Documentation not required
EGO	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Yes	Yes	Yes	Yes	No	

Actions (Treatments)	Due Date	Responsibility
Document Governance Framework	Dec-21	CEO; EGO
Continue Implementation of Training Program for Councillors and Staff	Ongoing	SMT; EGO
Review Councillor Induction Manual - Every 2 Years	Aug-21	EGO
Review Human Resource Management Framework	Feb-21	CEO; MCCS
Review Information Management System	Feb-21	MCCS
Interim Audit Finding 30 June 2020 - Code of Conduct - Review		EGO
Interim Audit Finding 30 June 2020 - Purchasing & Payment Procedures	Sep-20	CEO; MCCS
Interim Audit Finding 30 June 2020; Debtor & Credit Request Forms	Sep-20	MCCS
Interim Audit Finding 30 June 2020 - Review of LTFP & AMP	Dec-20	MCCS; MWA

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Dec-19	Jun-20	Dec-21	Progressing; completion in Decemebr 2021
Ongoing			Progressing
Completed			Completed August 2019; Next review due August 2021
Ongoing	Feb-21	Dec-21	Progressing
Dec-20	Feb-21	Dec-21	Preogressing
Completed			Model standards are released, currently reviewing
Completed			Implementation of Altus Procurement Module; 3 September 2020; reviewed & processes & procedures updated
Completed			Templates & procedures modified & actioned
Dec-20	Apr-21		IPR NEWROC Project; defer due date to April 2021

Key Performance Indicators	Tolerance	Latest Result	Trend
Financial and Performance Audit Qualifications	Unqualified Audit	Unqualified Audit	Improving
Compliance Audit Return	As per legislated	Compliant	Improving

KPI / Action Data			
2020	2021	2022	Comments
Unqualified Audit			Audit signed & finalised 16 December 2020
Compliant			Completed, presenting in March 2021

Financial Management System Review (Every 3 Years)	As per legislated	Compliant	Improving
CEO Regulation 17 Review (Every 3 Years)	As per legislated	Compliant	Improving
Freedom of Information Statistical Return	As per legislated	Compliant	Improving
Annual Waste & Recycling Data Reporting	As per legislated	Compliant	Improving
Regulation 53 of Building Regulations 2021 (Pool Inspections)	As per legislated	Compliant	Improving
Food Act 2008 & Public Health Act 2016 Reporting	As per legislated	Compliant	Improving

<i>Not Rated</i>			Last reviewed September 2019; Due September 2022
<i>Compliant</i>			Last reviewed September 2019; Due September 2022
<i>Compliant</i>			Submitted July 2021
<i>Compliant</i>			Submitted October 2021
<i>Not Rated</i>			Due December 2021; every 3 years
<i>Compliant</i>			Next due August 2021

Residual Risk Rating		
<i>Consequence Category</i>	<i>Risk Ratings</i>	<i>Rating</i>
Compliance / Reputation / Financial	<i>Consequence:</i>	<i>Moderate (3)</i>
	<i>Likelihood:</i>	<i>Possible (3)</i>
	Overall Risk Ratings:	Moderate

Additional / Final Comments
Reviewd by Management Team - March 2021
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies

Document Management Processes

Mar 21

Risk Context

Failure to adequately capture, store, archive, retrieve, provide or dispose of documentation.

This includes:

- Contact lists
- Procedural documents, personnel files, complaints
- Applications, proposals or documents
- Contracts
- Forms or requests

Potential causes include;

Incompatible systems	Outdated record keeping practices
Inadequate access and / or security levels	Lack of system/application knowledge
Inadequate Storage facilities (including climate control)	High workloads and time pressures
High Staff turnover	Standard Operating Policies not followed

Key Controls	Type	Last Reviewed	Rating
Information Management Framework	Preventative	Dec-20	Adequate
Governance Management Framework	Preventative	Ongoing	Adequate
Recordkeeping Plan	Preventative	Mar-19	Adequate
Overall Control Ratings:			Adequate

Actions (Treatments)	Due Date	Responsibility
Investigate Upgrades Required to Archive Room to Improve Compliance With SRO	Jun-20	MCCS
Refurbishment of Archive Room to Improve Compliance	Jun-21	MWA
Review Sharepoint System	Jun-21	CEO
Review Information Management Framework	Dec-21	CDO
Information Management Staff Training	Ongoing	MCCS
Review Record Keeping Plan	Jun-21	MCCS

Key Performance Indicators	Tolerance	Latest Result	Trend
Information Management Framework	Reviewed Annually	Not Rated	Constant
Archives	As legislated	Compliant	Constant
Record Keeping Plan Completed	As legislated	Not Rated	Constant

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Compliance / Reputation	Consequence:	Moderate (3)
	Likelihood:	Possible (3)
	Overall Risk Ratings:	Moderate

Objective:

Adequately capture, store, archive, retrieve, provide and ultimately dispose of Shire documentation

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Partial	Partial	Partial	Partial	No	
CEO	Yes	Yes	Yes	Yes	No	
CEO	Yes	Yes	Partial	Yes	No	

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Completed			Allocation in 2020/21 Budget
Completed			Completed August 2020
Jun-21			Identified potential providers; commence review January 2021
Jun-20	Jun-21	Dec-21	Progressing
Ongoing			Form part of Induction Process
Jun-21			Due to commence in March 2021

KPI / Action Data			
2020	2021	2022	Comments
<i>Not Rated</i>			Rating to commence July 2021
<i>Compliant</i>			Recorded & destroyed as per R&D Schedule; Record Keeping Plan
<i>Not Rated</i>			Compliant & Current RKP by due date

Additional / Final Comments
Reviewed by Management Team - March 2021
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Employment Practices Mar 21

Risk Context

Failure to effectively manage and lead human resources (full-time, part-time, casuals, temporary and volunteers).
 This includes:
 -Not having appropriately qualified or experienced people in the right roles
 -Insufficient staff numbers to achieve objectives
 -Breaching employee regulations
 -Discrimination, harassment & bullying in the workplace
 -Poor employee wellbeing (causing stress)
 -Key person dependencies without effective succession planning in place
 -Industrial activity

Objective:
 Effective management and leadership of human resources (full-time, part-time, casual, temporary and volunteer).

Potential causes include;

Leadership failures	Ineffective performance management programs or procedures
Key / single-person dependencies	Limited staff availability - labour market conditions
Poor internal communications / relationships	Inadequate induction practices
Ineffective Human Resources policies, procedures and practices	Inconsistent application of policies

Key Controls	Type	Last Reviewed	Rating
Workforce Plan	Preventative	May-19	Effective
Human Resource Management Framework	Preventative	May-19	Adequate
Overall Control Ratings:			Adequate

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO; MCCS	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Partial	Partial	Partial	Partial	No	

Actions (Treatments)	Due Date	Responsibility
Develop a Health and Wellbeing Program	Jun-21	SMT
Review Workforce Plan	Apr-21	SMT
Create Checklist for Human Resource Management Framework	Jun-21	SMT
Update Training Register & Develop 2021/2022 Training Program	Mar-21	CEO; MCCS
Review Staff Induction Process	Feb-21	MCCS
Conduct Annual Drivers License Checks	Annually in Feb	MCCS
Conduct Annual Performance Reviews	Annually in Feb	SMT

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Dec-19	Jun-20	Jun-21	Program not in place, no budget allocation; CEO to follow up with LGIS
Apr-20	Mar-21	Apr-21	IPR Masterclass scheduled to complete March 2021; IPR Newroc Project
Jun-20	Jun-21		Amended action to develop checklist as framework is documented
Apr-21	Sep-20	Apr-21	Commenced
Mar-20	Sep-20	Jun-21	Introducing electronic induction system for implementation in June 2021
Yearly in Feb	Mar-21		Conducting check during performance review process in March 2021
Apr-20	Mar-21		Review process commenced

Key Performance Indicators	Tolerance	Latest Result	Trend
Training Program (% Completed)	90% per annum	Not rated	
Absenteeism (% of Personal)	<10 days per FTE	Not rated	
Absenteeism (% Unpaid Leave)	<0 days per FTE	Not rated	
Employee Turnover (% Turnover Rate of Permanent Staff)	10%	Not rated	
Performance Reviews (% Completed)	100% per annum	100%	Improving
Annual Drivers Licenses (% Completed Checks)	100% per annum	100%	Improving
Workers Compensation Claims	< 1 per annum	0	Improving

KPI / Action Data			
2020	2021	2022	Comments
			Not rated this review; introduce result June 2021
			Not rated this review; introduce result June 2021
			Not rated this review; introduce result June 2022
			Not rated this review; introduce result June 2021
100%			
100%			2021 to occur with March Development Reviews
2			2 Workers Compensation Claims Closed

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Compliance / Health / Reputational / Financial	Consequence:	Moderate (3)
	Likelihood:	Possible (3)
	Overall Risk Ratings:	

Additional / Final Comments

Reviewed by Management Team - March 2021

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Notes:
 Australian Public Service Commission
 .id informed decisions
 CEMI (UWA)
 National turnover 8.5%

Engagement Practices **Mar 21**

Risk Context

Failure to maintain effective working relationships with the Community (including local Media), Stakeholders, Key Private Sector Companies, Government Agencies and / or Elected Members. This includes activities where communication, feedback or consultation is required and where it is in the best interests to do so.

For example;

- Following up on any access & inclusion issues
- Infrastructure Projects
- Local planning initiatives
- Strategic planning initiatives

This does not include instances whereby Community expectations have not been met for standard service provisions such as Community Events, Library Services and / or Bus/Transport services.

Objective:
Effective working relationships (communication, feedback & consultation) with the Community, local Media, Stakeholders, key Private Sector Companies, Government Agencies and Elected Members.

Potential causes include;

Relationship breakdowns with community groups	Short lead times
Leadership inattention to current issues	Miscommunication / poor communication
Inadequate documentation or procedures	Inadequate Regional or District Committee attendance.
Budget / funding issues	Inadequate involvement with, or support of community groups

Key Controls	Type	Last Reviewed	Rating
Community & Engagement Framework	Preventative		Not Rated
Communication & Engagement Policy	Preventative		Adequate
Complaint Handling Process	Preventative	Jun-20	Adequate
Community Satisfaction Survey	Detective	Oct-20	Adequate
Customer Service Charter	Preventative	Sep-20	Adequate
Overall Control Ratings:			Adequate

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO; CDO	Partial	Partial	Yes	No		Fraud not relevant
CEO; CDO	Yes	Yes	Yes	Yes		Fraud not relevant
CEO; CDO	Yes	Yes	Yes	Yes		Fraud not relevant
CEO; CDO	Yes	Yes	Yes	Yes		Fraud not relevant
CEO; CDO	Yes	Yes	Yes	Yes		Fraud not relevant

Actions (Treatments)	Due Date	Responsibility
Review Community Complaints, Feedback & Request Handling Process	Jun-21	CEO / MCCS
Develop a Community Engagement Policy & Framework	Mar-21	SMT / CDO
Conduct Community Satisfaction Survey	Jun-20	CEO / CDO
Develop Process For Customer Response Requests (Snap, Send, Solve)	Mar-20	MCCS
Review Customer Service Charter (every two years)	Sep-22	EGO
Develop Complaint Register (in accordance to Act)	Jun-20	MCCS

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Sep-19	Jun-20	Jun-21	Second review required to streamline processes
Oct-19	Jun-20	Oct-20	Progress stalled
Completed			Completed in October 2020; next due September 2022
Completed			Conduct second review and align with complaints handling process
Completed			Completed September 2020
Completed			Register developed & on Shrie website

Key Performance Indicators	Tolerance	Latest Result	Trend
Number Complaints from the Community Not Responded To	<3 per quarter	Not Rated	
Community Satisfaction Survey - Council Leadership within the Community	80% Satisfaction	75%	
Community Satisfaction Survey - How the community is consulted & informed about local issues	80% Satisfaction	75%	
Community Engagement Framework	Completed	Completed	Constant

KPI / Action Data			
2020	2021	2022	Comments
<i>Not Rated</i>			Not rated this review; introduce result in June 2021
<i>75%</i>			
<i>75%</i>			
<i>Not Rated</i>			Not rated this review; due March 2021

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
	Consequence:	<i>Minor (2)</i>

Additional / Final Comments

Reviewed by Management Team - March 2021

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Reputation

Likelihood:	<i>Likely (4)</i>
Overall Risk Ratings:	Moderate

Environment Management

Mar 21

Risk Context

Inadequate prevention, identification, enforcement and management of environmental issues.

The scope includes;

- Lack of adequate planning and management of coastal erosion issues.
- Failure to identify and effectively manage contaminated sites (including groundwater usage).
- Waste facilities (landfill / transfer stations).
- Weed & mosquito / Vector control.
- Ineffective management of water sources (reclaimed, potable)
- Illegal dumping.
- Illegal clearing / land use.

Objective:
Effective management and protection of our environment

Potential causes include;

Inadequate management of landfill sites	Inadequate reporting / oversight frameworks
Lack of understanding / knowledge	Community apathy
Inadequate local laws / planning schemes	Differing land tenure (land occupancy or ownership conditions)
Prolific extractive industry (sand, limestone, etc.)	Competing land use (growing population vs conservation)

Key Controls	Type	Last Reviewed	Rating
Road Engineering & Subdivision Policy (4.4)	Preventative	May-19	Adequate
Waste Water Management Plan & Program	Preventative		Not Rated
Contaminated Sites Register	Preventative	Nov-19	Adequate
Waste Management Plan & Program	Preventative		Not Rated
Overall Control Ratings:			Adequate

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
MWA	Yes	Yes	Yes	Yes	No	
MWA	No	No	No	No	No	
MWA	Yes	Yes	Yes	Yes	No	
MWA	No	No	No	No	No	

Actions (Treatments)	Due Date	Responsibility
Develop Waste Water Management Plan & Program	Dec-20	MWA
Develop Waste Management Plan & Program	Dec-21	MWA
Complete Audit of Sewage System	Completed	MWA
Address Compliance of Waste Management	Ongoing	MWA
Address Compliance of Waste Water Re-Use	Jun-21	MWA

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Dec-20	Jun-22		Not yet commenced
Dec-20	Jun-21	Dec-21	Not yet commenced; defer due date to December 2021
Completed			
Ongoing			MWA to determine & identify any gaps
Jun-21			Upgrade system subject to external funding; 2020/2021 budget allocation

Key Performance Indicators	Tolerance	Latest Result	Trend
Annual Waste & Recycling Data Reporting	As per legislated	Completed	Constant
Satisfactory Water Sampling For Water Re-Use	100%	Completed	Constant
Asbestos Register	As per legislated	Maintained	Constant
Contaminated Site Register	As per legislated	Maintained	Constant

KPI / Action Data			
2020	2021	2022	Comments
<i>Submitted</i>			Completed as per statutory requirements; due October 2020
<i>100%</i>			Water sampling conducted monthly
<i>Maintained</i>			Maintained; last reviewed December 2020
<i>Maintained</i>			

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Environment / Reputation / Financial	Consequence:	Moderate (3)
	Likelihood:	Possible (3)
	Overall Risk Ratings:	Moderate

Additional / Final Comments

Reviewed by Management Team - March 2021

Errors, Omissions & Delays

Mar 21

Risk Context

Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process including incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff.

Examples include;

- Incorrect planning, development, building, community safety and Emergency Management advice
- Incorrect health or environmental advice
- Inconsistent messages or responses from Customer Service Staff
- Any advice that is not consistent with legislative requirements or local laws.
- Human error
- Inaccurate recording, maintenance, testing or reconciliation of data.
- Inaccurate data being used for management decision-making and reporting.
- Delays in service to customers

This excludes process failures caused by inadequate / incomplete procedural documentation - refer "Inadequate Document Management Processes"

Objective:

Minimal errors, omissions or delays in service delivery and advisory activities

Potential causes include;

Human error	Incorrect information
Inadequate formal procedures or training	Miscommunication
Lack of trained staff	Work pressure / stress
Unrealistic expectations from community, council or management	Health issues
Poor use of check sheets / FAQ's	Lack of understanding

Key Controls	Type	Date	Rating
Checklists and Documented Procedures	Preventative	Nov-19	Inadequate
Complaints Register	Preventative	Nov-19	Adequate
Complaints Process	Recovery	Nov-19	Adequate
Councillor Information Bulletin	Preventative	Nov-19	Adequate
Customer Service Charter	Preventative	Nov-19	Adequate
Delegations & Register	Preventative	Nov-19	Adequate
Electronic Records - Sharepoint	Recovery	Nov-19	Adequate
External Communications (website, news articles)	Preventative	Nov-19	Adequate
External Consultants (ie. legal)	Preventative	Nov-19	Adequate
Customer Service Request Procedure	Preventative	Nov-19	Adequate
File Note/Documentation	Preventative	Nov-19	Adequate
Internal Communications (staff newsletter, regular meetings)	Preventative	Nov-19	Adequate
Performance Reviews	Preventative	Nov-19	Adequate
Qualified Building, Health & Planning Officers	Preventative	Nov-19	Adequate
Segregation of Duties (financial control)	Preventative	Nov-19	Adequate
Staff Inductions	Preventative	Nov-19	Adequate
Staff Training (formal & on-the-job)	Preventative	Nov-19	Effective
Council Motions Register	Preventative	Nov-19	Adequate

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO; MCCS	Partial	Partial	Partial	Partial	No	
CEO	Yes	Yes	Yes	Yes	No	
CEO	Yes	Yes	Yes	Yes	No	
CEO	Yes	Yes	Yes	Yes	No	
CEO	Yes	Yes	Yes	Yes	No	
CEO	Yes	Yes	Yes	Yes	Partial	
All Staff	Yes	Yes	Yes	Yes	No	
CEO; CDO	Yes	Yes	Yes	Yes	No	
CEO	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
SMT	Yes	Yes	Yes	Yes	No	
CEO; CDO	Yes	Yes	Yes	Yes	No	
SMT	Yes	Yes	Yes	Yes	No	
CEO	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
SMT	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
EGO	Yes	Yes	Yes	Yes	No	

Workforce Plan	Preventative	Nov-19	Adequate
Overall Control Ratings:			Adequate
Actions (Treatments)			
		Due Date	Responsibility
Review Code of Conduct		Jul-21	CEO / EGO
Review and Document Organisations Controls and Systems		Ongoing	CEO / MCCS
Centralise Checklists, Controls and Procedures		Jun-21	CEO / MCCS
Review Customer Service Complaints & Request Process to include Snap Send Solve		Jun-21	MCCS

Key Performance Indicators	Tolerance	Latest Result	Trend
Legal Claims	0	0	Constant
Number of Complaints Regarding Errors, Omissions or Delays (minor)	0	0	Constant
Number of Complaints Regarding Errors, Omissions or Delays (major)	0	0	Constant
Referral to SAT/Ombudsman/Public Sector Commission	0	0	Constant
Number of Complaints to Local Government Standards Panel	0	0	Constant
External Audit Qualification	Unqualified Audits	Unqualified Audit	Constant
Staff Training Target Met	90%	Not Rated	Constant

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Reputation / Compliance	Consequence:	Moderate (3)
	Likelihood:	Possible (3)
	Overall Risk Ratings:	Moderate

CEO; MCCS	Yes	Yes	Yes	Yes	No	
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Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Completed			Presented to Council July 2020; next review due July 2021
Ongoing			Progressing; Altus Procurement Module implemented
Dec-20	Jun-21		Progressing; complete by June 2021
Completed			Second review required to streamline processes

KPI / Action Data			
2020	2021	2022	Comments
0			
0			
0			
0			
0			
Unqualified Audit			Unqualified audit received; target identified
Not Rated			Introduce rating July 2021

Additional / Final Comments
Reviewed by Management Team - March 2021
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

External Theft & Fraud (Including Cyber)

Mar 21

Risk Context

Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means (including electronic).

For the purposes of;

-Fraud: benefit or gain by deceit

-Malicious Damage: hacking, deleting, breaking or reducing the integrity or performance of systems

-Theft: stealing of data, assets or information

Potential causes include;

Inadequate security of equipment / supplies / cash	Inadequate provision for patrons belongings
Robbery	Lack of Supervision
Scam Invoices	Collusion with internal staff
Cyber crime	

Key Controls	Type	Last Reviewed	Rating
Building Security Access Controls (Keys and Keypad Access)	Preventative	Unknown	Adequate
Equipment Storage and Access Controls	Preventative	Unknown	Adequate
IT Security Framework (Passwords and Security Protocols)	Preventative	Sep-19	Adequate
Financial Management System	Preventative	Sep-19	Adequate
Overall Control Ratings:			Adequate

Actions (Treatments)	Due Date	Responsibility
Review Access Controls to Include Key Register	Dec-21	CEO; M CCS
Photographic Record of Minor Assets & Align With Minor Assets Register	Jun-21	M CCS
Implement Quarterly Schedule For Changing Passwords	Ongoing	M CCS
Review Security and Storage of Records	Aug-21	M CCS
Document Financial Management System	Oct-21	M CCS

Key Performance Indicators	Tolerance	Latest Result	Trend
Number of Cyber Breaches	0	0	Constant
Number of Incidents of Theft or Fraud	0	0	Constant
Passwords Changed Quarterly	100%	100%	Constant

Residual Risk Rating

Consequence Category	Risk Ratings	Rating
Financial / Property	Consequence:	Minor (2)
	Likelihood:	Possible (3)
	Overall Risk Ratings:	Moderate

Objective:

To prevent a loss of funds, assets, data or unauthorised access by external parties

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Partial	Partial	Partial	No	Partial	
CEO	Partial	Partial	Partial	No	Partial	
CEO; M CCS	Yes	Yes	Yes	Yes	Partial	
CEO; M CCS	Yes	Yes	Yes	Yes	Partial	

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Dec-19	Jun-20	Dec-21	Progress stalled
Jun-20			Commenced
Ongoing			Secure password policy in place; reset passwords every 90 days
Completed			Next review Augsut 2021
Ongoing			Progressing; anticipate completion October 2021

KPI / Action Data			
2020	2021	2022	Comments
0			
0			
100%			

Additional / Final Comments

Reviewed by Management Team - March 2021

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Management of Facilities / Venues / Events

Mar 21

Risk Context

Failure to effectively manage the day to day operations of facilities, venues and / or events.

This includes;

- Inadequate procedures in place to manage quality or availability.
- Poor crowd control
- Ineffective signage
- Booking issues
- Stressful interactions with hirers / users (financial issues or not adhering to rules of use of facility)
- Inadequate oversight or provision of peripheral services (e.g.. cleaning / maintenance)

Potential causes include;

Double bookings	Traffic congestion or vehicles blocking entry or exit
Illegal / excessive alcohol consumption	Insufficient time between bookings for cleaning or maintenance
Bond payments poorly managed	Difficulty accessing facilities / venues.
Falsifying hiring agreements (alcohol on site / lower deposit)	Failed safety / chemical / health requirements
Inadequate oversight or provision of peripheral services (e.g.. cleaning / maintenance)	Poor service from contractors (such as catering or cleaning)

Key Controls	Type	Last Reviewed	Rating
Event Management Framework	Preventative	May-19	Not Rated
Building Maintenance Program	Preventative	May-19	Adequate
Facility / Venue Booking System	Preventative	May-19	Adequate
Reserves Management System	Preventative	May-19	Not Rated
Asset Management Plan	Preventative	May-19	Adequate
Statutory Public Building Compliance Program	Preventative	Nov-21	Adequate
Overall Control Ratings:			Adequate

Actions (Treatments)	Due Date	Responsibility
Develop Event Mangement Framework	Dec-21	CDO
Develop Reserves Management Register	Dec-21	MCCS / MWA
Create Inspection and Maintenance Schedules for Event Equipment	Jun-21	CDO
Undertake Community Facilities Review	Apr-21	CEO / CDO
Public Buildings Inspected Annually for Compliance	Nov-21	MWA

Key Performance Indicators	Tolerance	Latest Result	Trend
Number of Injuries / Incidents at Events	0	0	Constant
Number of Injuries / Incidents at Facilities	0	0	Constant
Customer Satisfaction Survey - Facilities	<65%	81%	
Compliance of Events and Facilities	>90%	90%	Constant
Reserves Management Register	Maintained	Not Rated	

Residual Risk Rating

Consequence Category	Risk Ratings	Rating
	Consequence:	Minor (2)

Objective:

Effective management of the day to day operations of facilities, venues and events.

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Yes	Partial	Yes	No	No	
CEO	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Yes	Yes	No	No	No	
CEO; MCCS	Partial	Partial	Partial	No	No	

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Mar-20	Jun-20	Dec-21	Yet to commence
Dec-20	Dec-21		Commenced
Dec-19	Mar-20	Jun-21	Yet to commence
Jun-20	Feb-21	Apr-21	Progress stalled due to COVID19; due date April 2021
Dec-20	Nov-21		Inspections commenced; Develop inspection schedule by November 2021

KPI / Action Data			
2020	2021	2022	Comments
0			
0			
81%			Rated every 2 years
90%			
Not Rated			New indicator; introduce rating Decemebr 2021

Additional / Final Comments

Reviewed by Management Team -March 2021

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Reputation	Likelihood:	<i>Unlikely (2)</i>
	Overall Risk Ratings:	Low

IT or Communication Systems and Infrastructure

Mar 21

Risk Context

Disruption, financial loss or damage to reputation from a failure of information technology systems. Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the community. This may or may not result in IT Disaster Recovery Plans being invoked.

Examples include failures or disruptions caused by:

-Hardware or software

-Networks

-Failures of IT Vendors

This also includes where poor governance results in the breakdown of IT maintenance such as;

-Configuration management

-Performance monitoring

This does not include new system implementations - refer "Inadequate Project / Change Management".

Potential causes include;

Weather impacts	Non-renewal of licences
Power outage on site or at service provider	Inadequate IT incident, problem management & Disaster Recovery Processes
Out-dated, inefficient or unsupported hardware or software	Lack of process and training
Software vulnerability	Equipment purchases without input from IT department
Incompatibility between operating systems	Vulnerability to user error

Key Controls	Type	Last Reviewed	Rating
IT Infrastructure Replacement Program	Preventative	Jul-20	Adequate
IT Management Service Level Agreement	Detective	Early 2018	Adequate
IT Managed Service Agreement Monthly Report	Detective	Monthly	Adequate
IT Disaster Recovery Plan	Recovery		Not Rated
IT System Access Framework	Preventative		Adequate
Secure Password Procedure	Preventative		Adequate
Advanced Email Protection	Preventative	Aug-20	Effective
Overall Control Ratings:			Adequate

Actions	Due Date	Responsibility
Develop IT Disaster Recovery Plan	Jun-21	MCCS
Review IT Management Service Level Agreement	Jun-21	MCCS
Document IT Infrastructure Replacement Program	Jun-21	MCCS
Develop Secure Password Procedure	Jun-20	MCCS
Replacement of Phone System	Sep-21	MCCS
Document IT System Access Framework	Jun-21	MCCS

Key Performance Indicators	Tolerance	Latest Result	Trend
Number of Cyber Breaches	0	0	Constant
IT Replacement Program	Developed	Not rated	Constant
IT Disaster Recovery Plan	Developed	Not rated	Constant
Advanced Email Protection	Installed	Installed	Constant
IT System Access Framework	Developed	Not rated	Constant
Document Secure Password Procedure	Developed	Not rated	Constant
Replacement of Phone System	Installed	Not rated	Constant

Residual Risk Rating

Consequence Category	Risk Ratings	Rating
Service Disruption / Financial	Consequence:	Major (4)
	Likelihood:	Likely (4)
	Overall Risk Ratings:	Moderate

Objective:

Stability and performance of information technology and communication systems

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Yes	Yes	Yes	Yes		Fraud not relevant
CEO	Yes	Yes	Yes	Yes		Fraud not relevant
CEO; MCCS	Yes	Yes	Yes	Yes		Fraud not relevant
CEO; MCCS	Yes	Yes	Yes	Yes		Due June 2021
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
MCCS	Yes	Yes	Yes	Yes	Partial	

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Dec-20	Jun-21		Action included in IT Management tender scope
Oct-19	Mar-20	Nov-20	IT Management tender process commenced; completion by Jun 2021
Mar-20	Dec-20	Jun-21	Action included in IT Management tender scope
Completed			Procedure implemented
Sep-21			Investigations commenced; quotations sourced
Mar-21	Jun-21		Action included in IT Management tender scope

KPI / Action Data			
2020	2021	2022	Comments
0			
Not rated			Not rated this review; introduce rating June 2021
Not rated			Not rated this review; introduce rating June 2021
Installed			Advance Threat Protection setup and configured 5 August 2020
Not rated			Not rated this review; introduce rating June 2021
Not rated			Not rated this review; introduce rating March 2021
Not rated			Not rated this review; introduce rating June 2021

Additional / Final Comments

Reviewed by Management Team - March 2021

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Misconduct

Mar 21

Risk Context

Intentional activities intended to circumvent the Code of Conduct or activities in excess of authority, which circumvent endorsed policies, procedures or delegated authority.

This would include instances of:

- Relevant authorisations not obtained.
- Distributing confidential information.
- Accessing systems and / or applications without correct authority to do so.
- Misrepresenting data in reports.
- Theft by an employee
- Inappropriate use of plant, equipment or machinery
- Inappropriate use of social media.
- Inappropriate behaviour at work.
- Purposeful sabotage

This does not include instances where it was not an intentional breach - refer Errors, Omissions or Delays.

Objective:

Compliance with our Code of Conduct

Potential causes include;

Inadequate training of code of conduct \ induction	Greed, gambling or sense of entitlement
Changing of job roles and functions/authorities	Collusion between internal & external parties
Delegated authority process inadequately implemented	Password sharing
Lack of internal checks	Low level of Supervisor or Management oversight
Covering up poor work performance	Believe they'll get away with it
Poor enforcement of policies and procedures	Undue influence from Manager / Councillor
Information leaked to Tenderers during the Tender process	Poor work culture
Insubordination	By-passing established administrative procedures
Disgruntled employees	Sharing of confidential information

Key Controls	Type	Last Reviewed	Rating
Delegations Register	Preventative	May-20	Adequate
Staff Recruitment Process (includes Police Clearance)	Preventative	Feb-19	Adequate
Staff Inductions	Preventative	Aug-20	Adequate
External Audits	Preventative	May-20	Adequate
Annual Drivers Licence Checks	Preventative	Feb-20	Adequate
Social Media Policy	Preventative	Apr-20	Adequate
Segregation of Duties (Financial)	Preventative	Jul-20	Adequate
Financial Management Policy	Preventative	May-20	Adequate
Financial Authorisation Policy	Preventative	May-20	Adequate
Delegation Control - Synergy	Preventative	Jul-20	Adequate
Financial Interests Returns Declarations	Preventative	Ongoing	Adequate
Primary and Annual Returns Process	Preventative	Aug-20	Adequate
Procurement Delegation Control - Synergy	Preventative	Ongoing	Adequate
Petty Cash Policy	Preventative	May-20	Adequate
Corporate Credit Card Policy	Preventative	May-19	Adequate
Delegated Authority for Procurement	Preventative	May-20	Adequate
Elected Member Training Plan	Preventative	Ongoing	Adequate
Audit & Risk Committee Terms of Reference	Preventative	Nov-19	Adequate
IT Security Access Register (Profiles & Passwords)	Preventative	90 Days	Adequate
Purchasing Policy & Procurement Process	Preventative	Jul-20	Adequate

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Yes	Yes	Yes	Yes	Partial	
CEO	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	

Tender Procurement Process	Preventative	Unknown	Adequate
Financial Management Systems Review	Preventative	Sep-19	Adequate
Regulation 17 Review	Preventative	Dec-19	Adequate
Related Parties Disclosures Policy	Preventative	Jan-19	Adequate
Council Member Communication & Use of Social Media Policy	Preventative	Introduced	Adequate
Code of Conduct	Preventative	Jul-20	Adequate
Overall Control Ratings:			Adequate

CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Yes	Yes	Yes	Yes	No	

Actions (Treatments)	Due Date	Responsibility
Review and Document Organisations Controls and Systems	Ongoing	CEO / MCCS
Centralise Checklists, Controls and Procedures	Jun-21	CEO / MCCS
Review Fuel Stock Control and Process	Apr-21	MCCS / MWA
Present Regulation 17 Review to Audit & Risk Committee - Annually	December pa	CEO
Review Purchasing Policy & Procurement Process	Jul-22	MCCS
Review Social Media Policy 3.11	Apr-22	EGO
Review Code of Conduct	Jul-21	CEO / EGO
Conduct Drivers Licence Check Annually	February pa	MCCS/MWA

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Dec-20	Ongoing		Progressing; Altus Procurement system implemented & utilised
Dec-20	Jun-21		Progressing
May-20	Apr-21		Progressing
December pa			Deferred due to other priorities; will be presented in December 2021
Mar-20	Completed		Review completed, presented to A & R Committee July 2020
Oct-19	Completed		Social Media Policy 3.11; reviewed April 2020; introduced Council Member Communication & Use of Social Media Policy December 2019
Completed			Presented to A & R Committee July 2020
Completed			Next due February 2021

Key Performance Indicators	Tolerance	Latest Result	Trend
Unqualified External Audits (# of Significant Findings)	0	Unqualified	Constant
Disregarding or Manipulating Procurement Process	Nil	Not rated	Constant
Breaches of Code of Conduct	Nil	0	Constant
Internal & External Complaints (Minor)	< 1 per quarter	0	Constant
Internal & External Complaints (Major)	0	0	Constant
Adherence to Internal Controls	Nil	Not rated	Constant

KPI / Action Data			
2020	2021	2022	Comments
<i>Unqualified</i>			Target identified
<i>Not rated</i>			Indicator & target to be reviewed
<i>0</i>			
<i>0</i>			
<i>0</i>			
<i>Not rated</i>			Indicator & target to be reviewed

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Reputation / Finance	Consequence:	<i>Moderate (3)</i>
	Likelihood:	<i>Possible (3)</i>
	Overall Risk Ratings:	Moderate

Additional / Final Comments
Reviewed by Management Team - March 2021
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Project / Change Management

Mar 21

Risk Context

Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time delays or scope changes.

This includes:

- Inadequate change management framework to manage and monitor change activities.
- Inadequate understanding of the impact of project change on the business.
- Failures in the transition of projects into standard operations.
- Failure to implement new systems
- Inadequate handover process

This does not include new plant & equipment purchases. Refer "Inadequate Asset Sustainability Practices"

Potential causes include;

Lack of communication and consultation	Excessive growth (too many projects)
Lack of investment	Inadequate monitoring and review
Failures of project Vendors/Contractors	Geographic or transport difficulties sourcing equipment / materials
External consultants underquoting on costs	Lack of project methodology knowledge and reporting requirements
Ineffective management of expectations (scope creep)	Project risks not managed effectively
Inadequate project planning (resources/budget)	

Key Controls	Type	Last Reviewed	Rating
Project Management Methodology and Framework	Preventative		Not Rated
Communication and Engagement Framework	Preventative		Not Rated
Risk Management Framework	Detective	Oct-19	Adequate
Financial Management Framework	Preventative	Mar-17	Adequate
Overall Control Ratings:			Adequate

Actions (Treatments)	Due Date	Responsibility
Develop Project Management Methodology and Framework	Dec-21	MCCS
Develop Communication and Engagement Framework	Mar-21	CEO / CDO

Key Performance Indicators	Tolerance	Latest Result	Trend
Minimisation of Project Variations	<90%	Not rated	
Achievement of Project Deadlines / Milestones	<90%	Not rated	
Community Engagement Framework	Completed	Not rated	

Residual Risk Rating

Consequence Category	Risk Ratings	Rating
Financial / Reputational / Health	Consequence:	Moderate (3)
	Likelihood:	Possible (3)
	Overall Risk Ratings:	Moderate

Objective:
Adequate analysis, design, delivery and reporting of projects

Control Assurance

Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	No	No	No	No	Partial	
CEO	Partial	Partial	Partial	No	No	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Yes	Yes	Yes	Yes	Partial	

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Oct-19	Dec-20	Dec-21	Not yet commenced
Oct-19	Jun-20	Oct-20	Progressing

KPI / Action Data

2020	2021	2022	Comments
<i>Not rated</i>			Not rated this review; introduce rating June 2021
<i>Not rated</i>			Not rated this review; introduce rating June 2021
<i>Not rated</i>			Not rated this review

Additional / Final Comments

Reviewed by Management Team - March 2021

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Safety and Security Practices

Mar 21

Risk Context

Non-compliance with the Occupation Safety & Health Act, associated regulations and standards. It is also the inability to ensure the physical security requirements of staff, contractors and visitors. Other considerations are negligence or carelessness.

Objective:

Compliance with the Occupation Safety & Health Act, associated regulations and standards, and the ability to ensure the physical security requirements of staff, contractors and visitors.

Potential causes include;

Lack of appropriate PPE / equipment	Inadequate signage, barriers or other exclusion techniques
Inadequate first aid supplies or trained first aiders	Poor storage and use of dangerous goods
Inadequate security protection measures in place for buildings, depots and other places of work	Ineffective / inadequate testing, sampling or other health-related requirements
Inadequate or unsafe modifications to plant & equipment	Lack of mandate and commitment from senior management
Inadequate policy, frameworks, systems and structure to prevent the injury of visitors, staff, contractors and/or tenants.	Inadequate organisational Emergency Management requirements (evacuation diagrams, drills, wardens etc.).
Inadequate supervision, training or mentoring of staff	Slow or inadequate response to notifications from public

Key Controls	Type	Last Reviewed	Rating
Building Security Access Controls (Keys & Keypad Access)	Preventative	Sep-19	Adequate
OSH Management Framework	Preventative	May-17	Adequate
Human Resource Management Framework	Preventative	May-19	Adequate
Governance Management Framework	Preventative	Ongoing	Adequate
Facility Risk Management Plan	Preventative		Not Rated
Overall Control Ratings:			Adequate

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Yes	Partial	No	No	Partial	
CEO	Yes	Yes	Yes	Yes	No	
CEO; MCCS	Partial	Partial	Partial	Partial	No	
CEO; MCCS	Yes	Yes	Yes	Yes	No	
CEO; MCCS	No	No	No	No	No	

Actions (Treatments)	Due Date	Responsibility
Review Hazard Register	Dec-21	MWA / TWC
Complete Staff Training Register	Jun-20	SMT
Conduct Quarterly Workplace Inspections	Quarterly	MWA / TWC
Safe Work Method Statements (SWMS) Library	Ongoing	MWA / TWC
Assess Shire Building and Facility Safety and Security	Dec-21	MWA / TWC
Develop Isolated Worker Management Protocol	Jun-21	MWA / TWC
Re-Establish OSH Committee & Conduct Monthly Meetings	Monthly	MWA / TWC
Develop Facility Risk Management Plan	Dec-21	CEO
Conduct Annual BCP and LEMC Drills	Dec-21	CEO
Review Contractor Inductions and Register	Dec-21	MWA / TWC

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Dec-19	Jun-20	Completed	Next review due Decemembr 2021
Dec-19	Feb-20	Sep-20	Progressing
Dec-19	Jan-20	Completed	Inspections recommenced
Dec-19	Dec-20	Feb-21	Task ongoing
Dec-19	Dec-20	Feb-21	Defer until December 2021
Dec-19	Jun-20	Dec-20	Commenced; to complete by June 2021
Dec-19	Jan-20	May-20	Monthly meetings recommenced
Jun-20	Jun-21	Dec-21	Allocation in 2021/22 budget deliberations
Jun-20	Dec-21		Waiting for DFES to coordinate LEMC Drill
Jun-20	Jun-20	Dec-21	Progressing

Key Performance Indicators	Tolerance	Latest Result	Trend
Reporting and Management of Incidents	100%	100%	Improving
Failed Safety Inspections	Nil	Nil	Constant
Lost Time Injuries Per Quarter	Nil	Nil	Constant
Near Misses Per Quarter	Nil	Nil	Constant
Workers Compensation Claims Per Quarter	Nil	0	Constant
Safety Audit Result % (Every Three Years)	95%	Not rated	Constant

KPI / Action Data			
2020	2021	2022	Comments
100%			
Nil			
30 Hours			
Nil			
2			
Not rated			Not rated this review; Safety Audit due 2021

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Health	Consequence:	Moderate (3)
	Likelihood:	Possible (3)
	Overall Risk Ratings:	Moderate

Additional / Final Comments
Reviewed by Management Team - March 2021
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Nil

Supplier / Contract Management

Mar-21

Risk Context
Inadequate management of external Suppliers, Contractors, IT Vendors or Consultants engaged for core operations. This includes issues that arise from the ongoing supply of services or failures in contract management & monitoring processes.
This also includes:
<ul style="list-style-type: none"> • Concentration issues (contracts awarded to one supplier) • Vendor sustainability

Potential causes include;	
Insufficient funding	Inadequate contract management practices
Complexity and quantity of work	Ineffective monitoring of deliverables
Suppliers not willing to provide quotes	Limited availability of suppliers
Inadequate tendering process	Lack of planning and clarity of requirements
Contracts not renewed on time	Historical contracts remaining

Key Controls	Type	Last Reviewed	Rating
Annual Budget	Preventative	Jul-20	Adequate
Financial Management Framework	Preventative	Progressing	Adequate
Access to Independent Advice (WALGA/Lawyers) & Peer Review	Preventative	Ongoing	Adequate
Overall Control Ratings:			Adequate

Actions (Treatments)	Due Date	Responsibility
Review Purchasing Policy	Completed	CEO; M CCS
Develop Standardised Contracts	Ongoing	CEO; M CCS
Document Financial Controls	Ongoing	M CCS
Develop Appropriate Financial Reporting Tools	Ongoing	M CCS
Develop Centralised Contract Management System	Ongoing	CEO; M CCS

Key Performance Indicators	Tolerance	Latest Result	Trend
Contracts Reviewed And Maintained	>90%	90%	Constant
Number of Expired Contracts Not Yet Renewed	<1 per quarter	1	Constant

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Service Interruption / Financial	Consequence:	Moderate (3)
	Likelihood:	Possible (3)
	Overall Risk Ratings:	Moderate

Objective:
Adequate management (including contractual arrangements) of external Suppliers, Contractors, IT Vendors or Consultants engaged for operations.

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO; M CCS	Yes	Yes	Yes	Yes	No	
CEO; M CCS	Yes	Yes	Yes	Yes	Partial	
CEO; M CCS	Yes	Yes	Yes	Yes	No	

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Completed			Presented to Audit & Risk Committee July 2020
Ongoing			Standardised MOUs; Service Level Agreements; Tenancy Agreements
Ongoing			Progressing
Ongoing			Progressing; implementation of Procurement & COA finalised; Payroll underway
Ongoing			Investigating

KPI / Action Data			
2020	2021	2022	Comments
90%			
1			

Additional / Final Comments
Reviewed by Management Team - March 2021
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

1 February 2021

Ms R McCall
Chief Executive Officer
Shire of Dowerin
13 Cottrell Street
Dowerin WA 6461

By email: vgreen@dowerin.wa.gov.au

Dear Rebecca

Shire of Dowering 2020 Statutory Compliance Audit

As you are aware I attended the Shire offices on 27 and 28 January 2021 as part of completing the 2020 compliance audit return for the Shire of Dowering.

The Shire achieved a commendable and very high level of compliance. Of the 102 areas examined there were only three where the Shire was partially non-compliant:

- 'Disclosure of Interest' question 14 - the Shire is required to publish register of gifts received by relevant persons (mainly councillors and employees) under s5.87A and 5.87B of the Act on its website, remove the entries where a person no longer ceases to be a councillor or employee and keep them in a separate register which the public can inspect by attendance at the Shire office.

The register on the Shire's website contained entries relating to former councillors and employees who are no longer relevant persons. The matter was easily fixed during the course of the site visit.

While beyond our scope, as an observation the whole area of gifts and how they are treated is subject to a complex series of rules which were meant to have been simplified by the State Government in 2019 but in my view were made even more difficult to apply and/or understand, and there is a risk that some inadvertent non-compliance may occur.

For example, on face value the Shire's gifts register also contained entries that are not required to be disclosed, but which may lead to confusion if gifts below the prescribed value are disclosed by one person but not by another. It may be worthwhile (possibly in conjunction with other local governments in the NEWROC area) to obtain some training as to how the rules are applied. This would be a relatively effective way of dealing with a matter that is confusing for many local governments.

- Optional question 7 - section 5.96A(1) requires a variety of information to be placed on a local governments website. All of the matters required were present; some additions should be made to the Shire's local laws - for example the Health local law is listed but cannot be downloaded; and local laws and amendments should be

consolidated (ie a single document that includes all amendments as required by s 5.96A(1)(b)).

There are also a small number of local laws listed on the Department of Local Government register of local laws that may still be in force but not yet repealed. It is noted that the Shire has very recently embarked on a review of its local laws and as such any consolidation and/or repeal of outdated local laws could be undertaken as part of that process.

- 'Finance' question 2 – asks '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 was, or was expected to be, \$250,000 or less or worth \$250,000 or less?'

The modalities (ie requirements when making purchases within set thresholds) set out the Shire's procurement policy No 3.11 for purchases below \$5,000 provide that *'any oral quote must be supported by a written file note with all details noted.'*

Based on a sample of payments made it was not entirely clear if written quotes had been consistently sought and/or oral quotes recorded for purchases below \$5,000 as required by the policy before entering into a contract, and if they had been obtained where they were stored. Best practice would be to attach a copy of the record of the quote (even a photocopy of a hand written note by the employee making the purchase would suffice) to the purchase order or invoice. Purchases in the sample that were over \$5,000 were supported by written quotes and sighted however.

That aside, in October 2020 the Shire introduced the Altus procurement package which requires for quotes to be recorded before a PO is issued. This should substantially deal with any issues that may arise providing the system is configured to mirror the procurement policy modalities.

In addition, council should consider a small amendment to this policy to the effect that no quotes need be obtained or recorded for purchases from \$0 to (say) \$500 providing the person making the purchase is satisfied that the price is fair and reasonable while at the same time introducing some efficiencies.

This will deal with low risk, small purchases such as the occasional box of nails, a reticulation fitting, spare tyre or the like that under the current policy quotes are required to be obtained and recorded. These purchases should be subject to a spot check from time to time to ensure that purchases are not split by employees to get under the threshold and that prices are in fact fair and reasonable.

Interestingly, there was one question where the CAR itself appeared to be incorrect. 'Finance' question 5 asked:

*Was the auditor's report for the financial year ended 30 June 2020 received by the **local government** by 31 December 2020?*

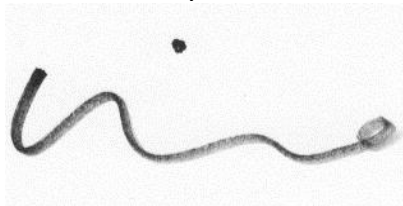
(Emphasis added)

The 'local government' means the council or a committee/CEO if delegated authority to exercise a power or carry out a duty. In this instance note that s7.9(1) of the Act refers to receipt of the report for the 2019/20 financial year by the President, CEO and Minister not the local government. It was received by the Shire President and CEO on 17 December 2020 and the Shire therefore complied with the regulatory requirement.

Overall, the systems and processes employed by the Shire appear robust and appropriate for a local government of its size.

I would like to thank Shire staff for their ready cooperation during the course of this project.

Yours sincerely



Chris Liversage
MLGPro BBus Dip Local Govt (C)
Director

	A	B	C	D	E	F	G	H
1	Category_1	Question No	Regulation	Question	Source for verification	Response	Comments	Respondent
2	Commercial Enterprises by Local Governments	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 2020?	Council minutes; asset register for disposal of property (especially land) and property valued at over \$2M or 10% of operating expenditure for 2018/19 (ie \$5.1M)	N/A	No major trading undertakings were considered in the reporting period.	Vanessa Green
3	Commercial Enterprises by Local Governments	2	s3.59(2)(b) F&G Regs 7,8,10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2020?	Business plan (if any)	N/A	No major trading undertakings were considered in the reporting period.	Vanessa Green
4	Commercial Enterprises by Local Governments	3	s3.59(2)(c) F&G Regs 7,8,10	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 2020?	Business plan (if any)	N/A	No major trading undertakings were considered in the reporting period.	Vanessa Green
5	Commercial Enterprises by Local Governments	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 2020?	Business plan (if any)	N/A	No major trading undertakings were considered in the reporting period.	Vanessa Green
6	Commercial Enterprises by Local Governments	5	s3.59(5)	During 2020, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority?	Council minutes, Business plan (if any)	N/A	No major trading undertakings were considered in the reporting period.	Vanessa Green
7	Delegation of Power/Duty	1	s5.16	Were all delegations to committees resolved by absolute majority?	Register of delegations, Council minutes	Yes	The Shire has delegated authority to the Audit Committee only. Delegations were reviewed by council on 19 May 2020, item 11.2 refers.	Vanessa Green
8	Delegation of Power/Duty	2	s5.16	Were all delegations to committees in writing?	Register of delegations, Council minutes	Yes	Register also available online on the Shires website in PDF format, see https://www.dowerin.wa.gov.au/council/your-council/policies-delegations.aspx	Vanessa Green
9	Delegation of Power/Duty	3	s5.17	Were all delegations to committees within the limits specified in section 5.17?	Register of delegations, Council minutes	Yes	Council has delegated authority to only the Audit Committee. See council meeting 19 May 2020, item 11.2 refers	Vanessa Green
10	Delegation of Power/Duty	4	s5.18	Were all delegations to committees recorded in a register of delegations?	Register of delegations	Yes	The register was substantially updated and replaced in 2020 with a version based on a template provided by the the WA Local Government Association. This will create efficiencies for the Shire in the long term as well as assisting to ensure compliance.	Vanessa Green
11	Delegation of Power/Duty	5	s5.18	Has council reviewed delegations to its committees in the 2019/2020 financial year?	Council minutes	Yes	See council meeting 19 May 2020, item 11.2 refers. The Shire adopted a new format for the register, based on a model provided by the WA Local Government Association. This will assist it in the long term to ensure compliance.	Vanessa Green
12	Delegation of Power/Duty	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?	Register of delegations, Council minutes	Yes	The register also contains a list (see p7) of those matters that are excluded.	Vanessa Green

Shire of Dowerin statutory compliance return 2020

	A	B	C	D	E	F	G	H
1	Category_1	Question No	Regulation	Question	Source for verification	Response	Comments	Respondent
13	Delegation of Power/Duty	7	s5.42(1)	Were all delegations to the CEO resolved by an absolute majority?	Council minutes	Yes	See item 11.2 Council meeting 19 May 2020.	Vanessa Green
14	Delegation of Power/Duty	8	s5.42(2)	Were all delegations to the CEO in writing?	Register of delegations	Yes	See item 11.2 Council meeting 19 May 2020 and Shire website for most recent version (last amended Dec 2021).	Vanessa Green
15	Delegation of Power/Duty	9	s5.44(2)	Were all delegations by the CEO to any employee in writing?	Register of delegations	Yes	The employee also signs a form acknowledging the delegation and associated conditions.	Vanessa Green
16	Delegation of Power/Duty	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?	Council minutes	Yes	On all occasions where delegations were reviewed or given during the year, minutes reflect that council resolved to do so by an absolute majority.	Vanessa Green
17	Delegation of Power/Duty	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?	Register of delegations	Yes	Division 4 of Part 5 of the Act refers to local government employees. Delegations to employees are contained in the 'main' document which lists delegations from council to the CEO.	Vanessa Green
18	Delegation of Power/Duty	12	s5.46(2)	Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2019/2020 financial year?	Register of delegations, Council minutes	Yes	Yes, see council meeting 19 May 2020, item 11.2 refers. Delegations from the CEO to other employees were reviewed at the same time.	Vanessa Green
19	Delegation of Power/Duty	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?	Sample where delegated authority exercised	Yes.	Occasions where delegated authority was exercised are reported monthly to Council via an information report. Some of these may not necessarily be delegations and are arguably implementation of council decision. The Shire exceeds minimum requirements in this area however.	Vanessa Green
20	Disclosure of Interest	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?	Council minutes	Yes.	Declarations of financial interest were made at the February, May, September and December ordinary council meetings. On all occasions the minutes correctly record the nature of the interest (financial, proximity and/or impartiality); the action then required was in accordance with the Act and Regulations. It may assist the Shire to include in agendas under the standard 'declarations of interest' heading to separate them into the types of interest that may apply such as financial, proximity and impartiality (and what action is then required such as leave the meeting, allow participation to the extent allowed by the meeting, etc).	Vanessa Green

Shire of Dowerin statutory compliance return 2020

	A	B	C	D	E	F	G	H
1	Category_1	Question No	Regulation	Question	Source for verification	Response	Comments	Respondent
21	Disclosure of Interest	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?	Council minutes	Yes	Yes; on all occasions where declarations were made (R21A relates to disclosures regarding gifts) action taken (leave the meeting etc) were correctly recorded in the minutes.	Vanessa Green
22	Disclosure of Interest	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?	Council minutes	Yes.	The minutes record all occasions where disclosures were made by elected members (s5.65) and employees (s5.70). There were no occasions where declarations appear to have been required under s5.71A(3) (CEO to declare if received a gift).	Vanessa Green
23	Disclosure of Interest	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?	Register of returns	Yes	Primary and annual returns for all current councillors (Hudson, Ward, Metcalf, Trepp, Hagborn, Holberton, and Sewell), the CEO and employees who were delegated authority have been viewed.	Vanessa Green
24	Disclosure of Interest	5	s5.76 Admin Reg 23, Form 3	Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2020?	Register of returns	Yes	Primary and annual returns for all current councillors (Hudson, Ward, Metcalf, Trepp, Hagborn, Holberton, and Sewell), the CEO and employees who were delegated authority have been viewed.	Vanessa Green
25	Disclosure of Interest	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?	Shire records system	Yes	The Shire keeps a register of acknowledgments. On all occasions written acknowledgment was provided.	Vanessa Green
26	Disclosure of Interest	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?	Register of returns	Yes	The register is available on the Shire's website at https://www.dowerin.wa.gov.au/council/your-council/financial-interests-register.aspx . A sample of declarations was also cross checked against meeting minutes. No discrepancies were noted.	Vanessa Green
27	Disclosure of Interest	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?	Register of returns (disclosures)	Yes	The regulation quoted requires details of the date, nature, extent, the date of the meeting, and an item number. The register contains all these details.	Vanessa Green
28	Disclosure of Interest	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?	Register of returns (disclosures)	Yes	Documents are moved to a separate register when a person ceased to become 'relevant' (ie retired from council or ceased employment).	Vanessa Green
29	Disclosure of Interest	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?	Shire records system	Yes	The Shire moves returns from an 'active' to a 'retired' register. Forms going back to at least 2016 were viewed.	Vanessa Green

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1	Category_1	Question No	Regulation	Question	Source for verification	Response	Comments	Respondent
30	Disclosure of Interest	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?	Register of gifts	Yes	The register is on the Shire's website at https://www.dowerin.wa.gov.au/registers/gifts .	Vanessa Green
31	Disclosure of Interest	12	s5.89A(5) & (5A)	Did the CEO publish an up-to-date version of the gift register on the local government's website?	Website	Yes	The last entry to the register is dated 16 December 2020 and it therefore appears to be up to date.	Vanessa Green
32	Disclosure of Interest	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?	Gifts register	No	The register on the website contained declarations from former employees and councillors that should be removed. Note though that s5.89A(6) and (7) are arguably unclear in that while subclause (6) requires removal from the register, subsection(7) requires them to be available for public inspection for a period of at least 5 years. This should be clarified with the Department of Local Government as it appears a little odd that on one hand the 'current' information is to be available via the website but on the other the public may inspect information that is not by coming to the Shire offices - the result is the same. In the meantime a solution could be to move them to a separate register, which is not also put on the Shire website in which entries 'fall away' after 5 years.	Vanessa Green
33	Disclosure of Interest	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?	Gifts register	Yes	On public register on website - see comment above; consider move to a separate document.	Vanessa Green
34	Disclosure of Interest	15	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)?	Council minutes	Yes	There were no instances noted where an impartiality interest was not declared.	Vanessa Green
35	Disclosure of Interest	16	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?	Council minutes	Yes	In all cases where an interest was disclosed the nature (financial, proximity, impartiality) was also noted.	Vanessa Green
36	Disclosure of Interest	17	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?	Council minutes	Yes	At the one instance where a declaration was made (Council meeting of 15/09/2021), the nature and extent was clearly disclosed.	Vanessa Green

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1	Category_1	Question No	Regulation	Question	Source for verification	Response	Comments	Respondent
37	Disclosure of Interest	18	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?	Staff interviews, Council minutes	N/A	No applications were required or made.	Vanessa Green
38	Disclosure of Interest	19	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?	Council minutes (if applicable)	N/A	No applications were required or made.	Vanessa Green
39	Disclosure of Interest	20	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?	Code of Conduct, council minutes	Yes	Regs 34B and 34C relate to codes of conduct about gifts, and disclosing interests affecting impartiality respectively. The Shire reviewed its code of conduct in July 2020 (see https://www.dowerin.wa.gov.au/Profiles/dowerin/Assets/ClientData/Code_of_Conduct_July_2020.pdf) which contains provisions about these matters and complies with the legislative requirements.	Vanessa Green
40	Disclosure of Interest	21	Admin Reg 34B(5)	Has the CEO kept a register of notifiable gifts in accordance with Admin Reg 34B(5)?	Register of gifts	Yes	On Shire website, see also p9 of the Shire of Dowerin Code of Conduct	Vanessa Green
41	Disposal of Property	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)?	Asset register; other records like copies of adverts (if kept by Shire)	N/A	There were no occasions apparent where the Shire disposed of property over the prescribed amount(s) where a tender process was not used.	
42	Disposal of Property	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?	Copies of adverts	N/A	The Shire disposed of property on at least one occasion where the property was exempt from application of s3.58 as provided for in Reg 30 of the Functions and General Regulations (below \$5,000). The CEO also has a delegation of authority (item 4.5 of the Shire's register of delegations of authority to dispose of property) and appropriately exercised that authority.	Vanessa Green
43	Elections	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?	Electoral gifts register	N/A	There were no elections during the reporting period.	Vanessa Green
44	Elections	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?	Shire records system	N/A	As above	Vanessa Green

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1	Category_1	Question No	Regulation	Question	Source for verification	Response	Comments	Respondent
45	Elections	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(6)?	Shire website	N/A	As above	Vanessa Green
46	Finance	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?	Council minutes	Yes	The Shire's audit committee was also established prior to 2020.	Vanessa Green
47	Finance	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?	Council minutes, register of delegations	Yes	See council meeting 19 May 2020, item 11.2 refers.	Vanessa Green
48	Finance	3	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?	Council minutes	N/A	The State OAG is responsible for conducting LG audits and determining the auditing company responsible.	Vanessa Green
49	Finance	4	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?	Auditor appointed (May need cross check against ASIC records (registered as an auditor under Part 9.2 of the Corporations Act 2001 (Cwth))	N/A	As above - auditor appointed by the OAG.	Cherie Delmage
50	Finance	5	s7.9(1)	Was the auditor's report for the financial year ended 30 June 2020 received by the local government by 31 December 2020?	Council minutes	Yes.	Note that s7.9(1) refers to receipt of the report for the 2019/20 financial year by the President, CEO and Minister not the local government. It was received by the Shire President and CEO on 17 December 2020.	Vanessa Green
51	Finance	6	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?	Council minutes, Audit Committee minutes	N/A	No findings or matters raised.	Vanessa Green
52	Finance	7	s7.12A(4)(a)	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?	Auditors report for 2019/20 FY; Audit Committee minutes	N/A	No findings or matters raised.	Vanessa Green
53	Finance	8	s7.12A(4)(b)	Where the local government was required to prepare a report under s.7.12A(4)(a), was a copy of the report given to the Minister within three months of the audit report being received by the local government?	Shire records system (if applicable)	N/A	No findings or matters raised.	Vanessa Green
54	Finance	9	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?	Copy of report (if applicable)	N/A	As above	Vanessa Green

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1	Category_1	Question No	Regulation	Question	Source for verification	Response	Comments	Respondent
55	Finance	10	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?	Copy of agreement between Shire and auditor	N/A	The State Office of the Auditor General is responsible for conducting LG audits and determining the audit scope for the Shire.	Cherie Delmage
56	Finance	11	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?	Council minutes	Yes.	Audit Regulation 10(1) requires the auditors report to be delivered to the persons listed in s7.9(1) of the Act. This is the President, CEO and Minister (not the 'local government').	Vanessa Green
57	Integrated Planning and Reporting	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?	Strategic community plan; council minutes	N/A	The Shire of Dowerin Strategic Community Plan 2018 - 2028 was adopted by council in March 2018 (item 10.1.9 refers).	Vanessa Green
58	Integrated Planning and Reporting	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?	Council minutes	Yes	Regulation 19DA(1) requires a local government to have a corporate business plan. The corporate business plan (basically) sets out how the local government might go about achieving the objectives of the Strategic Community Plan (SCP). A review of the Corporate Business Plan was considered by Council at its meeting held on 16 June 2020 (item 11.6 refers).	Vanessa Green
59	Integrated Planning and Reporting	3	Admin Reg 19DA(2) & (3)	Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)?	Corporate business plan	Yes	Admin Regulation 19DA(2) and (3) relate to a rolling 4 year period, and resources that may be available or required to meet the objectives of the plan (asset management, workforce plan, and long term strategic financial plan. The Plan complies with those requirements.	Vanessa Green
60	Local Government Employees	1	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?	Council minutes (if applicable)	N/A	There was no CEO recruitment undertaken during the reporting period.	Vanessa Green
61	Local Government Employees	2	s5.36(4) & s5.37(3) Admin Reg 18A	Were all CEO and/or senior employee vacancies advertised in accordance with Admin Reg 18A?	Shire records; other records like copies of adverts (if kept by Shire)	Yes	One senior employee position was recruited during the reporting period (Manager Works and Assets). The position was advertised in the 'West Australian' newspaper. The notice contained the details required by Reg 18A(2).	Vanessa Green
62	Local Government Employees	3	Admin Reg 18E	Was all information provided in applications for the position of CEO true and accurate?	Copy of advert(s) if applicable	N/A	CEO recruitment not necessary during reporting period	Vanessa Green
63	Local Government Employees	4	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)?	Copy of CEO contract (if applicable)	N/A	CEO recruitment not necessary during reporting period	Vanessa Green

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1	Category_1	Question No	Regulation	Question	Source for verification	Response	Comments	Respondent
64	Local Government Employees	5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a senior employee?	Council minutes	Yes	There was one occasion during the reporting period where the Shire recruited a designated senior employee under s5.37. The proposal was report to council at its meeting held on 16 June 2020 (item 15.2 refers).	Vanessa Green
65	Local Government Employees	6	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?	Council minutes	N/A	See above; Council accepted the CEO's recommendation	Vanessa Green
66	Official Conduct	1	s5.120	Has the local government designated a senior employee as defined by section 5.37 to be its complaints officer?	Website; other council records, Shire staff.	Yes	The CEO fulfils the role of complaints officer pursuant to s5.120(2) of the Local Government Act.	Vanessa Green
67	Official Conduct	2	s5.121(1)	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)?	Complaints register	Yes	The Shire's Register is at https://www.dowerin.wa.gov.au/council/your-council/complaints-minor-breach-register.aspx . Note there were no complaints received during reporting period.	Vanessa Green
68	Official Conduct	3	s5.121(2)	Does the complaints register include all information required by section 5.121(2)?	Complaints register	Yes	See https://www.dowerin.wa.gov.au/council/your-council/complaints-minor-breach-register.aspx	Vanessa Green
69	Official Conduct	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?	Shire website	Yes	See https://www.dowerin.wa.gov.au/council/your-council/complaints-minor-breach-register.aspx	Vanessa Green
70	Optional Questions	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 2020? If yes, please provide the date of council's resolution to accept the report.	Report/ review; Audit committee minutes, Council minutes	Yes	Report presented to Council meeting 26 November 2019, item 11.4.	Vanessa Green
71	Optional Questions	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 2020? If yes, please provide date of council's resolution to accept the report.	Council minutes	Yes	Report presented to Council meeting 17 November 2020 (item 12.1 refers).	Vanessa Green
72	Optional Questions	3	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?	Register of gifts	Yes	Based on the dates provided by the person making the disclosure.	Vanessa Green

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1	Category_1	Question No	Regulation	Question	Source for verification	Response	Comments	Respondent
73	Optional Questions	4	s5.87C	Where a disclosure was made under sections 5.87A or 5.87B, did the disclosure include the information required by section 5.87C?	Register of gifts	Yes	Published on website and details captured on form by person (councillor or employee) making the disclosure.	Vanessa Green
74	Optional Questions	5	s5.90A(2)	Did the local government prepare and adopt by absolute majority a policy dealing with the attendance of council members and the CEO at events?	Policy manual and/or council minutes	Yes	Included in policy 1.16	Vanessa Green
75	Optional Questions	6	s.5.90A(5)	Did the CEO publish an up-to-date version of the attendance at events policy on the local government's official website?	Website	Yes	On Shire website at https://www.dowerin.wa.gov.au/Profiles/dowerin/Assets/ClientData/Policy_Manual_-_as_at_January_2021.pdf (page 39).	Vanessa Green
76	Optional Questions	7	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)?	Website	Yes	Section 5.96A(1) requires a variety of information to be placed on a local governments website. All of the matters required were present; some additions should be made to the Shire's local laws - for example the Health local law is listed but cannot be downloaded; and local laws and amendments should be consolidated (ie a single document that includes all amendments as required by s 5.96A(1)(b)). There are also a small number of local laws listed on the Department of Local Government register of local laws that may still be in force but not yet repealed. It is noted that the Shire has very recently embarked on a review of its local laws and as such any consolidation and/or repeal of outdated local laws could be undertaken as part of that process.	Vanessa Green
77	Optional Questions	8	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?	Policy manual and/or council minutes	Yes	Included in policy 1.15	Vanessa Green
78	Optional Questions	9	s5.127	Did the local government prepare a report on the training completed by council members in the 2019/2020 financial year and publish it on the local government's official website by 31 July 2020?	Website, council minutes	Yes	See https://www.dowerin.wa.gov.au/Profiles/dowerin/Assets/ClientData/Councillor_Training_Report_-_2019-20.pdf	Vanessa Green
79	Optional Questions	10	s6.4(3)	By 30 September 2020, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June 2020?	Shire records (letter to auditors)	Yes		Cherie Delmage
80	Tenders for Providing Goods and Services	1	F&G Reg 11A(1) & (3)	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?	Policy manual and/or council minutes	Yes	See policy 3.11.	Vanessa Green

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1	Category_1	Question No	Regulation	Question	Source for verification	Response	Comments	Respondent
81	Tenders for Providing Goods and Services	2	F&G Reg 11A(1)	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 was, or was expected to be, \$250,000 or less or worth \$250,000 or less?	Purchasing policy, sample of quotes etc obtained (say 2 per category of purchasing thresholds)	Yes	Based on the sample viewed the Shire complied with its purchasing policy albeit the recording of quotes for purchases below \$5,000 requires improvement. The Shire introduced software (Altus) in late 2020 to management procurement processes, which amongst other things requires copies of quotes to be uploaded where required by policy and can only be overridden by the CEO. This will assist in ensuring future compliance. In addition, the Shire's procurement policy could be enhanced by adding a modality that deals with minor purchases from (say) 0 - \$500. In these cases no quotes might be required providing the person making the purchase is satisfied that the price is fair and reasonable. At present quotes (verbal or written) are required for purchases from \$0 to \$5,000.	Vanessa Green
82	Tenders for Providing Goods and Services	3	s3.57 F&G Reg 11	Subject to F&G 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)?	Tenders register; extract of creditors from finance system to crosscheck	Yes	Regulation 11(1) requires tenders to be called if the consideration under the contract is \$250,000 or more. There was only one creditor who was paid more than \$250,000 in the 2019/20 FY that this provision could be possibly applied to, but services provided were sourced via a pre-existing panel of suppliers.	Vanessa Green
83	Tenders for Providing Goods and Services	4	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 F&G Reg 14(3) and (4)?	Tenders register; shire advertising records	Yes	One tender was let during the period. The 'West Australian' newspaper was used.	Vanessa Green
84	Tenders for Providing Goods and Services	5	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than a single contract?	Yes	Yes	Regulation 12 is an anti avoidance provision designed to prevent local governments splitting contracts in small components to avoid tender requirements. There were no occasions noted (bearing in mind the Shire has a relatively small budget) where contracts were split in order to avoid going to a tender process.	Vanessa Green
85	Tenders for Providing Goods and Services	6	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?	Tenders register	N/A	There were no variations required to the single tender issued by the Shire in the reporting period.	Vanessa Green

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1	Category_1	Question No	Regulation	Question	Source for verification	Response	Comments	Respondent
86	Tenders for Providing Goods and Services	7	F&G Regs 15 & 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of F&G Regs 15 and 16?	Policy manual or procedures manual re opening tenders	Yes	Regulation 15 of the Local Government (Functions and General) Regulations require that tenders be open for a period of at least 14 days. While there was only one tender let during the period in question, the Shire uses a standard template which sets out the requirements of this regulation, and specifies that a minimum of 14 days from the date of publication of the call for tenders to submission. The documentation indicates that a sound process has been established.	Vanessa Green
87	Tenders for Providing Goods and Services	8	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of F&G Reg 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website?	Tenders register	Yes	The information in the tenders register complies with F&G Regulation 17. Tender details published on the website (see https://www.dowerin.wa.gov.au/council/noticeboard/tenders.aspx .) A small addition to add	Vanessa Green
88	Tenders for Providing Goods and Services	9	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?	Tenders register , other Shire records	N/A	There were no tenders received that did not comply with requirements to be submitted at the place and within the time specified.	Vanessa Green
89	Tenders for Providing Goods and Services	10	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?	Council minutes; sample where delegated authority exercised	Yes	All tenders received during the period of the review were subject to a written evaluation against the criteria included in the tender specification.	Vanessa Green
90	Tenders for Providing Goods and Services	11	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?	Shire records/ tenders register	Yes	All tenderers were provided with written advice as to both the identity of the successful tenderer and that their bid was successful or unsuccessful.	Vanessa Green
91	Tenders for Providing Goods and Services	12	F&G Regs 21 & 22	Did the local government's advertising and expression of interest processes comply with the requirements of F&G Regs 21 and 22?	Shire records (only applicable if EoI process used under R21)	N/A	There were no EOI processes conducted during reporting period	Vanessa Green
92	Tenders for Providing Goods and Services	13	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?	Tenders register (only applicable if EoI process used under R21)	N/A	As above	Vanessa Green
93	Tenders for Providing Goods and Services	14	F&G Reg 23(3)	Were all expressions of interest that were not rejected assessed by the local government?	Council minutes, tenders register and/or register of delegations of authority	N/A	As above	Vanessa Green
94	Tenders for Providing Goods and Services	15	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 as an acceptable tenderer?	Council minutes and/or register of delegations of authority	N/A	As above	Vanessa Green
95	Tenders for Providing Goods and Services	16	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 F&G Reg 24?	Shire records	N/A	As above	Vanessa Green

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96	Tenders for Providing Goods and Services	17	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 F&G Reg 24AD(4) and 24AE?	Shire records (copies of advertisements)	Yes	Advert sighted.	Vanessa Green
97	Tenders for Providing Goods and Services	18	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?	Shire records, tenders register (note use of automated or web-based systems)	Yes	No variations were made to the single tender the Shire issued to establish a panel.	Vanessa Green
98	Tenders for Providing Goods and Services	19	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 F&G Reg 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application?	Tenders register (note use of automated or web-based systems)	N/A	There were no panels of pre-qualified tenders let during the period covered although the Shire commenced the process to establish one in late 2020.	Vanessa Green
99	Tenders for Providing Goods and Services	20	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 F&G Reg 24AG?	Tenders register (note use of automated or web-based systems)	N/A	There were no panels of pre-qualified tenders let during the period covered.	Vanessa Green
100	Tenders for Providing Goods and Services	21	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?	Tenders register (note use of automated or web-based systems)	N/A	There were no panels of pre-qualified tenders let during the period covered.	Vanessa Green
101	Tenders for Providing Goods and Services	22	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?	Tenders register (note use of automated or web-based systems)	N/A	There were no panels of pre-qualified tenders let during the period covered.	Vanessa Green
102	Tenders for Providing Goods and Services	23	F&G Reg 24AI	Did the CEO send each applicant written notice advising them of the outcome of their application?	Shire records	N/A	There were no panels of pre-qualified tenders let during the period covered.	Vanessa Green
103	Tenders for Providing Goods and Services	24	F&G Regs 24E & 24F	Where the local government gave regional price preference, did the local government comply with the requirements of F&G Regs 24E and 24F?	Policy manual (price preference policy)	Yes	The Shire's procurement policy deals with the requirements of Regulations 24E and 24F.	Vanessa Green
104								
105								
106								
107								
108								
109	Cr Darrel Hudson		Rebecca McCall					
110	Shire President		Chief Executive Officer					



Business Continuity Plan
Updated March 2021

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Version Control

No.	Date	Details	By
1	March 2020	Plan Adopted	Council
2	March 2021	Update of Key Contacts, removal of DHC site due to staff relocation to the Administration Office, inclusion of an Incident Response Plan for responding to a pandemic	
3			
4			
5			
6			
7			
8			

1.0 KEY CONTACTS

Contact List - Internal

Person	Position	Mobile No.	Responsibilities Incident Response (IR) Team Leader
Rebecca McCall	Chief Executive Officer	0417 449 451	IT Team Leader
Cherie Delmage	Manager Corporate & Community Services	0406 659 119	IR Team Member
Les Vidovich	Manager Works & Services	0429 311 160	IR Team Member
Bianca Zampogna	Works Administration Officer		IR Team Member
Vanessa Green	Executive & Governance Officer	0484 919 306	IR Team Member
Ashlee Banks	Community Development Officer		IR Team Member
Lisa Begley	Dowerin Home Care Coordinator		IR Team Member
Kyara Hathaway	Fire Warden - Shire Administration Office		IR Team Member
Mal Smith	Fire Warden - Depot		IR Team Member
Cr Darrel Hudson	Shire President	0428 311 063	Shire President

Contact List - External

Key Contacts	Contact Numbers/s
Police & Emergency Services	000
Dowerin Police Station	9631 1100
Ambulance	000
St John Ambulance Dowerin	9631 1906
Goomalling Medical Surgery	9629 1166
Goomalling Hospital	9629 0100
Wyalkatchem Hospital	9692 1222
Wyalkatchem Doctor Surgery	9681 1140
Insurance Company - LGIS	9483 8888
Key Suppliers / Locksmith - Swan Locks	9328 3141
Electrician - Joelectrics	0419 963 624
Plumber - 5 Rivers Plumbing & Gas	0439 827 058
Water & Sewerage - Water Corporation	13 13 75
Electricity - Western Power	13 13 51

Telephone - Telstra	13 20 00 / 13 29 99
IT Support - Market Creations	9920 8555
Primary Business System Software - IT Vision	9315 7000
Primary Business System Software - SharePoint - SOS	0438 925 883
Internet Service Provider - Telstra	6224 9829 / 1800 730 062 Opt 1
WA Local Government Association	9213 2000
ABC Radio - Midwest & Wheatbelt	9923 4111 (Northam 1215AM)
Department of Transport Licensing	6551 6568 / 1800 354 928
State Records Office	9427 3600
Bank/Building Society - National Bank	9690 2505
Accountant (Auditor) - OAG / AMD	6557 7500 / 9780 7555
Waste Collection - Avon Waste	9641 1318
Lawyer - Norton Rose Fulbright Australia	6212 3245 / 0407 722 752

2.0 INTRODUCTION AND OBJECTIVES

The purpose of developing a Business Continuity Plan (BCP) is to ensure the capability of the Shire of Dowerin to continue to deliver its services at an acceptable level following a disruptive incident or disaster. The BCP was adopted by Council in March 2020.

A disaster is defined as a serious disruption of the functioning of the Shire of Dowerin causing widespread human, economic or environmental loss or disturbance. Such disasters include incidents like fire, flood, storm or earthquake.

A BCP uses measures such as alternative premises and other facilities to ensure that a business can continue operations and if not, restore operations as quickly as possible after a calamity.

The objectives of this plan enable the Shire to:

1. Ensure we are prepared prior to an event
2. Define prioritise and re-establish critical business functions as quickly and efficiently as possible;
3. Follow a systematic plan for the management of any incident or disaster;
4. Detail the immediate response to minimise damage or loss during a critical incident;
5. Minimise the effect of an incident on the community, staff and Council; and
6. Review and update this plan on a regular basis.

The Shire recognises that some events may exceed the capacity of routine management methods and structure. The BCP aims to provide a mechanism for the development of contingent capacity and logical plans that will enable management to focus on maintaining and resuming the Shire's most critical functions; whilst working in a practical way toward eventual restoration of operations and ensuring unaffected operations are able to continue.

This BCP reinforces, and is reinforced by, the Shire's Risk Management Framework and Risk Management Policy.

This BCP will be located on the Shire website www.dowerin.wa.gov.au and SharePoint to ensure it is always available. Copies will also be placed in the Chief Executive Officer's vehicle, all Managers' vehicles and the fireproof strong room within the Shire Administration Office.

3.0 BUSINESS CONTINUITY PRIORITIES

Priority	Critical Activities	Recovery Time Objective - O Maximum Tolerable Period of Disruption - X				
		1 day	3 days	5 days	10 days	20 days
1	Phone Calls (Receiving)	X				
1	Manage Admin/Cleaning OSH Issues & Incidents	X				
1	Manage Works OSH Issues & Incidents	X				
1	Complaint Handling - Urgent	X				
1	Shire Building Maintenance	X				
1	Cemetery	X				
1	Prioritised Reactive Road, Footpath & Drainage Maintenance	X				
1	Front Counter Assistance	X				
2	Banking		X			
2	Receipting Money & Invoices		X			
2	Building Applications			O	X	
2	Payroll		O	X		
2	Print Communications (Despatch, Newsletters, Flyers)			X		
3	Waste Disposal			X		
3	Private Works (communicate delay)		X			
3	Generation & Signing of Urgent Creditor Cheques				O	X
4	Receipting through Synergy				X	
4	Record Keeping/Archives				X	
4	Council Meetings				X	

4.0 CRITICAL BUSINESS FUNCTIONS

4.1 Community Services

Service Area	Function	RTO
Corporate	Communications & media management	1
Corporate	Maintenance of Shire website	1
Community	Dowerin Home Care - provision of meals & critical health services to clients	1

4.2 Corporate Services

Service Area	Function	RTO
Finance	Accounts Payable (Creditors)	5
Finance	Accounts Receivable (Debtors)	10
Finance	Banking & Taxation	1
Finance	Licencing	2
Finance	Payroll	1
Corporate	Cemetery reservations & internments	5
Corporate	Customer complaints	3
Corporate	Customer enquiries	3
Corporate	Records management	3
Ranger Services	Animal control	1

4.3 Governance Services

Service Area	Function	RTO
Governance	Elected Member liaison & support	1
Governance	Cleaning of facilities	3
Building Services	Bush Fire Brigades response & support	1
Environmental Health	Food premises inspections	1
Environmental Health	Respond to environmental health issues	1
Building / Environmental Health	Temporary accommodation approvals	1

4.4 Works & Asset Services

Service Area	Function	RTO
Building Services	Reactive building maintenance	1
Environmental Health	Sewerage management	1
Environmental Health	Water quality monitoring	1
Environmental Health	Waste collection	1
Parks & Gardens	Playground inspections	2
Parks & Gardens	Sportsground maintenance	10
Works	Reactive maintenance	1
Works	Storm & disaster response	1
Works	Fleet servicing & maintenance	5
Works	Landfill operations	5
Works	Road safety assessments	1

5.0 DEFERRED FUNCTIONS & SERVICE DELIVERY

5.1 Community Services

Service Area	Function
Community Development	Community events and activities
Governance	Civic functions & receptions
Finance/Community Development	Grant management
Community	Dowerin Home Care - provision of all non-life threatening services

5.2 Corporate Services

Service Area	Function
Corporate	DoT vehicle licensing & registration
Corporate	WAPOL licencing & registration (firearms)
Corporate	Facility hire
Corporate	Insurance management
Corporate	Records management
Finance	Rates calculation & collection

5.3 Governance Services

Service Area	Function
Governance	Advocacy
Building Services	Demolition licence assessment
Building Services	Issue building licence assessment
Building Services	Private building licence assessment
Building Services	Private swimming pool inspections
Environmental Health	Food premises approvals & registration
Environmental Health	Liquor licence approvals
Environmental Health	Lodging house inspections
Environmental Health	Pest control
Environmental Health	Public buildings, accommodation approvals & registration
Environmental Health	Trade/stallholders permits
Planning Services	Business & community signage approvals
Planning Services	Municipal Heritage Inventory management
Planning Services	Subdivision proposals
Planning Services	Town Planning Scheme management
Planning Services	Private Scheme amendment requests
Planning Services	Process & issue development & planning approvals
Planning Services	Provide advice on town planning matters

5.4 Works & Asset Services

Service Area	Function
Asset Management	Asset management planning & maintenance
Asset Management	Building inspections
Asset Management	Building maintenance program
Parks & Gardens	Cemetery maintenance
Parks & Gardens	Town maintenance
Parks & Gardens	Park & Reserve maintenance
Parks & Gardens	Playground installations & maintenance
Parks & Gardens	Weed control
Road Construction & Maintenance	Construction & maintenance program
Road Construction & Maintenance	Crossover inspection & approval
Road Construction & Maintenance	School bus stop / routes maintenance
Works	Abandoned vehicles
Works	Clearing permits
Works	Fleet purchasing
Works	Heavy haulage permits
Works	Private works
Works	Road name and street numbering
Works	Survey, design & layout of drainage, footpaths & roads
Works	Traffic management

6.0 DISASTER RECOVERY CENTRE

6.1 Town Hall & Lesser Hall

In the event of relocation, the current infrastructure at the Town Hall & Lesser Hall would be sufficient to support allocated staff and business operations, noting that IT access and phones would have to be purchased to enable access.

There is a small kitchenette, sufficient rest room facilities and ample car parking.

It should be noted however, there are no generator facilities on site hence these would have to be hired in.

6.2 Dowerin Community Club

In the event of relocation, the current infrastructure at the Dowerin Community Club would be sufficient to support the allocated staff and business operations. Telephone line availability is limited, therefore some reliance on mobile communications will be required.

Accommodation, power outlets, computer data points and desk/table space is sufficient for short term relocation as well as kitchen/cool room facilities and rest rooms. Excellent car parking is available.

The Dowerin Community Club is also most suitable as a public evacuation centre without impinging on the above. Access for persons with disabilities is not an issue.

It should be noted however, there are no generator facilities on site hence these would have to be hired in.

6.3 Dowerin Community Resource Centre

Although not suitable or appropriate as a Disaster Recovery Centre, it is noted that the Dowerin Community Resource Centre has wifi access and conferencing facilities which may be utilised in the event that business operations are being delivered from the Town or Lesser Hall or the Dowerin Community Club.

7.0 TESTING THE PLAN

As the Council changes over time it is essential to ensure that the current procedures of before, during and after a disaster remain relevant and effective.

The Management Recovery Team should conduct a structured walkthrough every 12 months, which will involve a review of the BCP.

Every 24 months a physical test should be performed, testing the external sites and resources that are relied upon in the case of a disaster. The occurrence of particular events also requires a test or review of the BCP to be carried out, such as:

1. changes made to the emergency procedures;
2. a new business operation is introduced;
3. changes made to the Council's organisational structure;
4. a disaster situation is managed and business processes restored.

Performing regular tests will examine and ensure the Shire is capable of responding to and managing an emergency situation.

To ensure the testing of the BCP is undertaken, the outlined tasks will be incorporated in the Shire of Dowerin's Risk Management Governance Framework and risk profile reporting tool.

8.0 INCIDENT RESPONSE PLANS

The following incident response plans present the Incident Response Team hierarchy that shall be employed in the event of an emergency. If under extreme circumstances the Chief Executive Officer or any member of the senior management team is disabled, then the team will consist of all the remaining available senior management.

The plans are not exhaustive, as any major incident will require more detailed and potential long-term considerations, however the plans below provide a structured response to major incidents that are of the highest threat to service provision and Shire operations.

8.1 Loss of Administration Office

Types of incidents include fire, flood and earthquake.

TASK 1 – Immediate Response		
This task provides the necessary command and control to enable the Shire of Dowerin's Incident Response Team to conduct an initial assessment of the disaster and to co-ordinate the Shire's initial response to the disaster.		
Incident Response Team	Team Leader:	Chief Executive Officer
	Team Members:	Manager Corporate & Community Services Manager Works & Assets Fire Warden(s) Shire President (media liaison)
Recovery Procedure	Incident Response Team Leader/Fire Warden to undertake the following steps: <ol style="list-style-type: none"> 1. Ensure site has been evacuated and all personnel are accounted for 2. Secure site and prevent access 3. Contact Emergency Services and Police 4. Identify any injuries and render assistance 5. Engage Incident Response Team 6. Undertake an initial assessment of damage and risks 7. Call Telstra and arrange the diversion of phone lines to existing Shire mobiles 8. Team Leader determines time frame to switch to disaster recovery site 	
Recovery Time Objective	Time frame for this activity is within 24 hours of the incident	
Recovery Location	Primary Site:	Town Hall &/or Lesser Hall
	Secondary Site:	Dowerin Community Club
Resource Requirements	<ol style="list-style-type: none"> 1. Mobile phones 2. iPads & laptops 3. Personnel 	
Other Considerations	<ol style="list-style-type: none"> 1. Secure the affected area as necessary 2. Restrict access to the building/site 3. Liaise with Emergency Services and Police 4. Inform Local Government Insurance Services (LGIS) 5. Inform Elected Members and employees 6. Liaise with Shire President to make a press release 7. Inform community where possible 	

TASK 2 – Commence operations from Disaster Recovery Site

This task provides the necessary steps to commence core Shire operations from the Disaster Recovery Site and commence the planning for restoration of services in the short and longer term.

Incident Response Team	Team Leader:	Chief Executive Officer
	Team Members:	Manager Corporate & Community Services Manager Works & Assets Executive & Governance Officer Community Development Officer Works Administration Officer
Recovery Procedure	<p>Undertake the following steps:</p> <ol style="list-style-type: none"> 1. Establish the disaster recovery site – Manager Corporate & Community Services <ol style="list-style-type: none"> a. Layout workspace utilising tables and chairs from the Town &/or Lesser Hall b. Source telephones, establish communications and arrange to have calls directed to landline c. Allocate staff to customer service and disaster recovery assistance d. Liaise with other Incident Response Team members to determine items to be immediately replaced and what is recoverable. e. Contact IT Vision & Shire’s IT supplier (Market Creations) f. Recover backups g. Cancel all forward bookings of the Town &/or Lesser Hall. 2. Assess damage and undertake salvage operations – CEO <ol style="list-style-type: none"> a. Undertake initial assessment of salvageable materials, items and records, etc. b. Contact staff to remove items to the salvage site (Depot) 3. Co-ordinate all communications, media and elected members, insurers and general co-ordination of recovery process – CEO <ol style="list-style-type: none"> a. Liaise with Shire President to issue a media statement b. Co-ordinate meetings of Incident Response team c. Authorise all immediate purchasing requirements d. Liaise with Shire’s insurers e. Oversee Assessment and recovery 	
Recovery Time Objective	The aim of the Recovery Plan is to achieve this task within 72 hours	
Resource Requirements	<ol style="list-style-type: none"> 1. Office furniture & stationery 2. Administration staff 3. IT hardware & software 4. Communications (landline & internet) 	

TASK 3 – Assess damage and prepare medium term Recovery Plans

This task provides the necessary steps to commence planning for medium term operations from the Disaster Recovery Site.

Incident Response Team	Team Leader:	Chief Executive Officer
	Team Members:	Manager Corporate & Community Services Manager Works & Assets Executive & Governance Officer Community Development Officer Works Administration Officer
Recovery Procedure	<p>Undertake the following steps:</p> <ol style="list-style-type: none"> 1. Establish the disaster recovery site for full operations in the medium to longer term – Manager Corporate & Community Services <ol style="list-style-type: none"> a. Recover data to pre disaster state b. Bring all records up to date c. Contact all necessary persons to inform of incident, expected delays and seek documentation where necessary d. Establish necessary equipment and infrastructure requirements to provide full operations from recovery site including demountable buildings and other office accommodation. 2. Finalise damage assessment and commence planning for re-establishing services through full or partial rebuild – CEO <ol style="list-style-type: none"> a. Undertake assessment of building and determine action to fully or partially rebuild and make recommendation to Council. 3. Co-ordinate all communications, media and elected members, Local Government insurers and general co-ordination of recovery process – CEO <ol style="list-style-type: none"> a. Oversee assessment and recovery b. Co-ordinate meetings of Incident Response Team c. Oversee planning for medium term operation from Disaster Recovery Site (6-12 months) 	
Recovery Time Objective	4 weeks	
Resource Requirements	<ol style="list-style-type: none"> 1. IT contractors 2. Additional infrastructure as identified 3. Contractors to clean up disaster site 	

TASK 4 - Long term Recovery Plan and relocation to permanent Shire Office building

This task provides the necessary steps to finalise planning, rebuilding and recommencement of operations from the permanent Shire Office building.

Incident Response Team	Team Leader:	Chief Executive Officer
	Team Members:	Manager Corporate & Community Services Manager Works & Assets Executive & Governance Officer Works Administration Officer Working Group appointed by Council
Recovery Procedure	<p>Undertake the following steps (CEO):</p> <ol style="list-style-type: none"> 1. Establish working group to: <ol style="list-style-type: none"> a. Review operations for location of new premises b. Undertake design and tendering processes c. Oversee construction of new premises d. Oversee commissioning of new premises 2. Present review findings to Council for decision 3. Appoint architect, exterior and interior designers, engineers and other necessary assistance to design, specify and document new premises 4. Issue tenders, appoint contractor(s) and commence construction 5. Commission new premises and commence operations from new building 	
Recovery Time Objective	From the commencement of this task, 4 weeks after the incident, it is the target to have all Shire functions permanently operating from the rebuilt Shire Office within 12 months	
Resource Requirements	<ol style="list-style-type: none"> 1. Planning assistance 2. Consultants/architects 3. Builders & contractors 	

8.2 Complete IT Hardware Failure

TASK		
This task provides the necessary steps to recover the Shire's IT system as a result of complete failure resulting in replacement of the IT system		
Incident Response Team	Team Leader:	Chief Executive Officer
	Team Members:	Manager Corporate & Community Services Executive & Governance Officer Records Officer(s) IT Provider(s)
Recovery Procedure	Undertake the following steps: <ol style="list-style-type: none"> 1. Assess severity of outage through the Shire's IT provider(s) and determine likely outage time 2. Seek quotations and place orders for replacement components 3. Contact Shire's insurers and Police if necessary 4. Inform Council, community and business contacts (ie banks, creditors and contractors) of potential delays in providing services 5. Set up and install new hardware. Install all software and restore from backups 6. Reconcile and rebuild all data 	
Recovery Time Objective	2 to 4 weeks	
Resource Requirements	IT suppliers (hardware/software, Synergy Soft, Department of Transport, SharePoint, etc.)	

8.3 Loss of Depot Buildings

Types of incidents include fire, flood and earthquake.

TASK 1 - Immediate Response		
This task provides the necessary command and control to enable the Shire of Dowerin's Incident Response Team to conduct an initial assessment of the disaster and to co-ordinate the Shire's initial response to the disaster.		
Incident Response Team	Team Leader:	Chief Executive Officer
	Team Members:	Manager Works & Assets Works Administration Officer Fire Warden(s) Shire President (media liaison)
Recovery Procedure	Incident Response Team Leader/Fire Warden to undertake the following steps: <ol style="list-style-type: none"> 1. Ensure site has been evacuated and all personnel are accounted for 2. Secure site and prevent access 3. Contact Emergency Services and Police 4. Identify any injuries and render assistance 5. Engage Incident Response Team 6. Undertake an initial assessment of damage and risks 7. Team Leader determines time frame to switch to disaster recovery site 	
Recovery Time Objective	Time frame for this activity is within 24 hours of the incident	
Recovery Location	Primary Site:	Main Depot (Cnr Cottrell St & Memorial Ave)
	Secondary Site:	Lower Depot (Cnr Cottrell, Stewart & Couper Sts)
	Back up Site:	Ram Shed at Field Days site
Note: Due to the location of the Main Depot and the Lower Depot, depending on the nature of the disaster, it is possible for each location to be the Primary and Secondary Site for the other. Should both Depots be damaged in the same disaster (ie earthquake) the Ram Shed would be the identified Recovery Location.		
Resource Requirements	<ol style="list-style-type: none"> 1. Mobile phones 2. Personnel 3. Ablutions (may need to be hired in) 4. Fuel (may need to be ordered in) 	
Other Considerations	<ol style="list-style-type: none"> 1. Secure the affected area as necessary 2. Restrict access to the building/site 3. Liaise with Emergency Services and Police 4. Inform Local Government Insurance Services (LGIS) 5. Inform Elected Members and employees 6. Liaise with Shire President to make a press release 7. Inform community where possible 	

TASK 2 – Commence operations from Disaster Recovery Site

This task provides the necessary steps to commence core Shire operations from the Disaster Recovery Site and commence the planning for restoration of services in the short and longer term.

Incident Response Team	Team Leader:	Chief Executive Officer
	Team Members:	Manager Works & Assets Works Administration Officer
Recovery Procedure	<p>Undertake the following steps:</p> <ol style="list-style-type: none"> 1. Establish the disaster recovery site – Manager Works & Assets <ol style="list-style-type: none"> a. Establish appropriate temporary depot site at appropriate Recovery Location b. Administration function to resume from Shire office c. Liaise with other Incident Response Team members to determine items to be immediately replaced and what is recoverable. 2. Assess damage and undertaken salvage operations – Manager Works & Assets, CEO <ol style="list-style-type: none"> a. Undertake initial assessment of salvageable materials, items and records, etc. b. Engage staff to remove items to appropriate Recovery Location 3. Co-ordinate all communications, media and Elected Members, insurers and general co-ordination of recovery process – CEO <ol style="list-style-type: none"> a. Liaise with Shire President to issue a media statement b. Oversee assessment and recovery c. Co-ordinate meetings of Incident Response team d. Authorise all immediate purchasing requirements e. Liaise with Shire’s insurers. 	
Recovery Location	Primary Site:	Main Depot (Cnr Cottrell St & Memorial Ave)
	Secondary Site:	Lower Depot (Cnr Cottrell, Stewart & Couper Sts)
	Back up Site:	Ram Shed at Field Days site
Recovery Time Objective	The aim of the Recovery Plan is to achieve this task within 72 hours	
Resource Requirements	<ol style="list-style-type: none"> 1. Works staff 2. Plant & equipment 3. Ablutions (may need to be hired in) 4. Fuel (fuel and storage options may need to be hired in) 	

TASK 3 – Assess damage and prepare medium term Recovery Plans

This task provides the necessary steps to commence planning for medium term operations from the Disaster Recovery Site.

Incident Response Team	Team Leader:	Chief Executive Officer
	Team Members:	Manager Works & Assets Works Administration Officer
Recovery Procedure	<p>Undertake the following steps:</p> <ol style="list-style-type: none"> 1. Establish the disaster recovery site for full operations in the medium to longer term – Manager Works & Assets <ol style="list-style-type: none"> a. Establish appropriate temporary depot site at appropriate Recovery Location b. Administration function to resume from Shire office (or alternate site) c. Contact all necessary persons to inform of incident, expected delays and seek documentation where necessary d. Liaise with CEO to establish necessary equipment and infrastructure requirements to provide full operations from recovery site. 2. Finalise damage assessment and commence planning for re-establishing services through full or partial rebuild – Manager Works & Assets, CEO <ol style="list-style-type: none"> a. Undertake assessment of building and determine action to fully or partially rebuild and make recommendation to Council. 3. Co-ordinate all communications, media and Elected Members, insurers and general co-ordination of recovery process – CEO <ol style="list-style-type: none"> a. Oversee assessment and recovery b. Co-ordinate meetings of Incident Response Team c. Oversee planning for medium term operation from Disaster Recovery Site (6-12 months) 	
Recovery Location	Primary Site:	Main Depot (Cnr Cottrell St & Memorial Ave)
	Secondary Site:	Lower Depot (Cnr Cottrell, Stewart & Couper Sts)
	Back up Site:	Ram Shed at Field Days site
Recovery Time Objective	4 weeks	
Resource Requirements	<ol style="list-style-type: none"> 1. Additional infrastructure, plant & equipment as identified 2. Contractors to clean up disaster site 	

TASK 4 - Long term Recovery Plan and relocation to permanent Shire Depot

This task provides the necessary steps to finalise planning, rebuilding and recommencement of operations from the permanent Shire Depot.

Incident Response Team	Team Leader:	Chief Executive Officer
	Team Members:	Manager Works & Assets Works Administration Officer Working Group appointed by Council
Recovery Procedure	Undertake the following steps (CEO, Manager Works & Assets) : <ol style="list-style-type: none">1. Establish working group to:<ol style="list-style-type: none">a. Review operations for location of new premisesb. Undertake design and tendering processesc. Oversee construction of new premisesd. Oversee commissioning of new premises2. Present review findings to Council for decision3. Appoint engineers and other necessary assistance to design, specify and document new premises4. Issue tenders, appoint contractor(s) and commence construction5. Commission new premises and commence operations	
Recovery Time Objective	From the commencement of this task, 4 weeks after the incident, it is the target to have all Shire functions permanently operating from the rebuilt Shire Depot within 12 months	
Resource Requirements	<ol style="list-style-type: none">1. Planning assistance2. Consultants/engineers3. Builders & contractors	

8.4 Responding to a Pandemic

Types of new infectious diseases include coronavirus, ebola, influenza.

TASK - Immediate Response		
This task provides the necessary command and control to enable the Shire of Dowerin's Incident Response Team to conduct an initial assessment of the pandemic and to coordinate the Shire's initial response to the disaster.		
Incident Response Team	Team Leader:	Chief Executive Officer
	Team Members:	Manager Corporate & Community Services Community Development Officer (media liaison)
Risk Minimisation	<ol style="list-style-type: none"> 1. Continuous review and update of information/protocol 2. Providing a safe working environment including but not limited to: <ol style="list-style-type: none"> 2.1 Cleaning & hygiene regime 2.2 Supply of cleaning equipment and materials 2.3 Access to appropriate PPE 2.4 Practical steps to take in the workplace 2.5 Meetings and events 2.6 Elected Member and Employee travel 2.7 Elected Member and Employees who are not well 2.8 Alternative working arrangements 2.9 Self-isolating 2.10 Waiting for health test results 2.11 Social distancing 2.12 Seating arrangements 2.13 Facility management 	
Recovery Objective	A specific framework to manage potential implications of a pandemic will be developed in response to a pandemic health alert. The Plan will be developed based on advice received from the Commonwealth and State Governments specific to the circumstances of the individual pandemic.	
Recovery Time	Dependent of advice provided by the Commonwealth and State Governments; ongoing review.	
Recovery Location	Primary Site 1:	Administration Office
	Primary Site 2:	Depot
	Secondary Site:	Working from home
Resource Requirements	<ol style="list-style-type: none"> 1. Mobile Phones 2. iPads and laptops 3. Internet access 4. Remote access 5. Personnel 6. Teleconferencing/Videoconferencing 7. PPE 	
Other Considerations	<ol style="list-style-type: none"> 1. Restrict client, visitor and customer access 2. Inform Elected Members and employees 3. Ability for staff to work from home 4. Inform clients, community and stakeholders 	

	<ol style="list-style-type: none">5. Elected Member & Employee Flu Vaccination Program6. Stakeholder communication7. IT and communication management8. Community information packs9. Defer activities and events10. Review delivery of services
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9.0 IMMEDIATE RESPONSE CHECKLIST

INCIDENT RESPONSE	√	ACTIONS TAKEN
Have you: • assessed the severity of the incident?	<input type="checkbox"/>	
• evacuated the site if necessary?	<input type="checkbox"/>	
• accounted for everyone?	<input type="checkbox"/>	
• identified any injuries to persons?	<input type="checkbox"/>	
• contacted Emergency Services?	<input type="checkbox"/>	
• implemented your Incident Response Plan?	<input type="checkbox"/>	
• started an Event Log?	<input type="checkbox"/>	
• activated staff members and resources?	<input type="checkbox"/>	
• appointed a spokesperson?	<input type="checkbox"/>	
• gained more information as a priority?	<input type="checkbox"/>	
• briefed team members on incident?	<input type="checkbox"/>	
• allocated specific roles and responsibilities?	<input type="checkbox"/>	
• identified any damage?	<input type="checkbox"/>	
• identified critical activities that have been disrupted?	<input type="checkbox"/>	
• kept staff informed?	<input type="checkbox"/>	
• contacted key stakeholders?	<input type="checkbox"/>	
• understood and complied with any regulatory/compliance requirements?	<input type="checkbox"/>	
• initiated media/public relations response?	<input type="checkbox"/>	

10.0 INCIDENT RECOVERY CHECKLIST

INCIDENT RESPONSE	√	ACTIONS
Now that the crisis is over have you: <ul style="list-style-type: none"> refocused efforts towards recovery? 	<input type="checkbox"/>	
<ul style="list-style-type: none"> deactivated staff members and resources as necessary? 	<input type="checkbox"/>	
<ul style="list-style-type: none"> continued to gather information about the situation as it affects you? 	<input type="checkbox"/>	
<ul style="list-style-type: none"> assessed your current financial position? 	<input type="checkbox"/>	
<ul style="list-style-type: none"> reviewed cash requirements to restore operations? 	<input type="checkbox"/>	
<ul style="list-style-type: none"> contacted your insurance broker/company? 	<input type="checkbox"/>	
<ul style="list-style-type: none"> developed financial goals and timeframes for recovery? 	<input type="checkbox"/>	
<ul style="list-style-type: none"> kept staff informed? 	<input type="checkbox"/>	
<ul style="list-style-type: none"> kept key stakeholders informed? 	<input type="checkbox"/>	
<ul style="list-style-type: none"> identified information requirements and sourced the information? 	<input type="checkbox"/>	
<ul style="list-style-type: none"> set priorities and recovery options? 	<input type="checkbox"/>	
<ul style="list-style-type: none"> updated the Recovery Plan? 	<input type="checkbox"/>	
<ul style="list-style-type: none"> captured lessons learnt from your individual, team and business recovery? 	<input type="checkbox"/>	

11.0 EVACUATION PROCEDURES

Relevant procedures and plans have been developed and are displayed in accordance with Council's OSH policy and procedures in positions easily accessible to staff and customers.

12.0 EMERGENCY KIT

In the event of evacuation or damage to the Administration Office, Works Depot, or The Dowerin Home Care and relocation of the unit to a Disaster Recovery Site, two emergency kits have been made up.

The kits are located at:

1. The Administration Office, in the fire proof strong room;
2. The Dowerin Home Care Office, in the Coordinator's office; and
3. The Depot, in the office.

The Works Administration Officer is responsible for annually checking and updating the kits.

The items and documents included in the emergency kit are:

Documents:

1. Business Continuity Plan incorporating contact lists;
2. List of staff names and contact numbers;
3. Councillor contact details;
4. Copy of Shire templates and forms (on a USB)
5. Basic stationery;
6. One ream of Council Letterhead;
7. Box of envelopes; and
8. Local Dowerin phone directory.

13.0 REVIEW & MAINTAIN

It is critical that this plan is regularly reviewed to ensure that it remains relevant, accurate and useful. The CEO is responsible for reviewing and maintaining the plan including annual updating of all the contact and insurance lists. This maintenance is a key factor in the successful implementation of the plan during an emergency.

The plan should use staff titles rather than names and any organisational structure changes must be reviewed with the plan.

After an event it is important to assess the performance of the plan, highlighting what was handled well and what could be improved upon next time.

Each workplace fire warden will develop an evacuation process which will be laminated and displayed clearly for staff and visitors to access.

14.0 LGIS INSURANCE POLICIES

Insurance type	Policy coverage	Policy exclusions	Insurance company and contact	Last review date	Payments due
LGIS Property Business Interruption	Business interruption due to: Section 1 Event occurring - insured risks of physical loss, destruction or damage to property not specifically excluded in the policy wording	As per LGIS Property Protection Policy Wording VO1.2017 - Exclusions To All Sections (pages 26-34) Policy Excess \$1,000	LGIS - Sandra Clohessey (9483 8865) Policy No 000115	30 June Annually	Annually
Motor Vehicle	All motor vehicles and trailers Section 1 Loss or damage to vehicles as per Interest Insured. Current market value at the time of loss or damage or sum insured value specified in the Declaration of vehicles, whichever is the lesser, but limited per council to \$20,000,000 any one event. Section 2 Cover for Third Party Liability \$35,000,000 but limited to \$5,000,000 for any dangerous goods carrying vehicles, for all claims arising from the one accident or series of accidents resulting from the one original cause (as defined in this section of the policy).	As per ZU12208_JLT Local Authorities Policy Wording V5 - Exclusions Applicable To All Sections, Exclusions - Section1 & Exclusions - Section 2 Policy Excess \$300	LGIS - Sandra Clohessey (9483 8865) Policy No 63 4012190 VFT	30 June Annually	Annually
Personal Accident	The Mayor, President, Chairperson, Elected Members, Councillors, Commissioners. Voluntary Workers Children involved in Council authorised excursions.	The insurance being provided under this policy shall only apply whilst a Covered Person is engaged in work as an elected member or voluntary worker, provided that such work is	LGIS - Sandra Clohessey (9483 8865) Policy No 93130510	30 June Annually	Annually

Insurance type	Policy coverage	Policy exclusions	Insurance company and contact	Last review date	Payments due
	<i>Members of any Committees and Trusts established by the Insured Other Persons where the Insured is required to provide coverage whilst such persons are engaged in any Government Labour Market, Training, Work Experience or Job Creation Projects.</i>	<i>authorised by the Policyholder, including necessary direct travel to and from such work on behalf of the Policyholder. As per Chubb 16PDSVW03 Voluntary Workers Insurance Policy Wording -General Exclusions Applicable To The Policy (page 25) Any Excesses which may apply</i>			
<i>LGIS Liability</i>	Section A <i>Public Liability - \$600 Million any one occurrence Products Liability - \$600 Million any one occurrence and in the aggregate any one period of protection</i> Section B <i>Professional Indemnity any one occurrence and in the aggregate any one period of protection</i>	<i>As per LGIS Liability Protection Policy Wording Version 17 dated June 2019 - Exclusions (pages 10-15) Any Excesses which may apply</i>	<i>LGIS - Sandra Clohessey (9483 8865) Policy No 000115</i>	<i>30 June Annually</i>	<i>Annually</i>
<i>LGIS WorkCare</i>	Workers Compensation <i>Coverage is granted to The Member in accordance with the Workers Compensation and Injury Management Act (1981)(as amended) including Unlimited Common Law</i> Journey Accident Cover <i>The cover extends to include accidents that occur whilst a worker is travelling directly to and from his/her workplace where the Workers Compensation and Injury Management Act (1981)(as amended) does not provide cover Death & Capital Benefits: \$300,000 Weekly Benefits: 100% up to</i>	<i>As per LGIS WorkCare Protection June09 - Nil Exclusions & Chubb Journey Accident Insurance Policy Wording 16PDSJA03 - General Exclusions Applicable To The Policy (page 25)</i>	<i>LGIS - Sandra Clohessey (9483 8865) Policy No 000591</i>	<i>30 June Annually</i>	<i>Annually</i>

Insurance type	Policy coverage	Policy exclusions	Insurance company and contact	Last review date	Payments due
	\$2,500 Nil Excess				
LGIS Property Buildings - Shire office	As per Policy Wording	As per LGIS Property Protection Policy Wording VO1.2017 - Exclusions To All Sections (pages 26-34) Policy Excess \$1,000	LGIS - Sandra Clohessey (9483 8865) Policy No 000115	30 June Annually	Annually
LGIS Property Contents - Shire office	As per Policy Wording	As per LGIS Property Protection Policy Wording VO1.2017 - Exclusions To All Sections (pages 26-34) Policy Excess \$1,000	LGIS - Sandra Clohessey (9483 8865) Policy No 000115	30 June Annually	Annually
LGIS Property Building - Depot	As per Policy Wording	As per LGIS Property Protection Policy Wording VO1.2017 - Exclusions To All Sections (pages 26-34) Policy Excess 1,000	LGIS - Sandra Clohessey (9483 8865) Policy No 000115	30 June Annually	Annually
LGIS Property Contents - Depot	As per Policy Wording	As per LGIS Property Protection Policy Wording VO1.2017 - Exclusions To All Sections (pages 26-34) Policy Excess \$1,000	LGIS - Sandra Clohessey (9483 8865) Policy No 000115	30 June Annually	Annually
LGIS Property Building - Dowerin Home Care	As per Policy Wording	As per LGIS Property Protection Policy Wording VO1.2017 - Exclusions To All Sections (pages 26-34) Policy Excess \$1,000	LGIS - Sandra Clohessey (9483 8865) Policy No 000115	30 June Annually	Annually
LGIS Property Contents - Dowerin Home Care	As per Policy Wording	As per LGIS Property Protection Policy Wording VO1.2017 - Exclusions To All Sections (pages 26-34) Policy Excess \$1,000	LGIS - Sandra Clohessey (9483 8865) Policy No 000115	30 June Annually	Annually
Crime	Loss must be a direct financial loss sustained by The Member anywhere in the	As per LGIS Liability Scheme providing protection for the first \$50,000 any one loss,	LGIS - Sandra Clohessey (9483 8865)	30 June Annually	Annually

Insurance type	Policy coverage	Policy exclusions	Insurance company and contact	Last review date	Payments due
	<p><i>world in connection with a single act or series of related continuous or repeated acts of:</i></p> <ul style="list-style-type: none"> <i>a) an internal crime; or</i> <i>b) an external crime; or</i> <i>c) a theft; or</i> <i>d) physical loss or damage \$500,000</i> 	<p><i>subject to CHUBB Elite 11 fraud Protector Commercial Crime Insurance Policy (ed.AU 11/13) - What Is Not Covered (page 8) Policy Excess \$1,000</i></p>	<p><i>Policy No 05CH005846</i></p>		

15.0 BUSINESS IMPACT ANALYSIS

As part of the Business Continuity Plan the Shire has undertaken a Business Impact Analysis which will use the information in the Risk Management Plan to assess the identified risks and impacts in relation to critical activities of the Shire operations and determine basic recovery requirements.

Critical Business Activity

The following table lists the critical business activities that must be performed to ensure the Shire's business continues to operate effectively.

General Risk Area 1

Finance and Accounting

Payroll

Environmental Health

General Risk Area 2

Road Construction and Maintenance

Public Conveniences

Waste Management

Critical Business Activity	Description	Priority	Impact of loss <i>(losses in terms of financial, staffing, loss of reputation etc.)</i>	RTO <i>(critical period before business losses occur)</i>
General Risk Area 1	All critical activities to manage Council's key administrative and governance processes: <ul style="list-style-type: none"> • Finance and Accounting • Payroll • Environmental Health 	High	<ul style="list-style-type: none"> • Staffing numbers will not change however there will be an impact on productivity levels as functions are completed manually or resources are redirected to the recovery process • The urgent re-establishment of these critical needs may result in Council breaching various statutory and service requirements • There will be a minor impact on customer services which may temporarily reflect upon Council poorly • The re-establishment of the service will depend on many alternate suppliers, such as IT and Communication suppliers, electricity and software providers. 	72 hours

Critical Business Activity	Description	Priority	Impact of loss <i>(losses in terms of financial, staffing, loss of reputation etc.)</i>	RTO <i>(critical period before business losses occur)</i>
General Risk Area 2	All critical activities to manage Council's on ground, engineering and maintenance services: <ul style="list-style-type: none"> • Road construction and maintenance • Public conveniences 	High	<ul style="list-style-type: none"> • Re-establishment/incremental costs: <ul style="list-style-type: none"> ◦ Machinery at hire rates ◦ Public conveniences - no impact • Staffing numbers will not change, however there will be an impact on productivity levels as functions are completed manually or resources are redirected to the recovery process • There will be minor impact on customer services which may temporarily reflect upon Council poorly • The urgent re-establishment of these critical needs may result in Council temporarily breaching various statutory and service requirements 	72 hours

16.0 GLOSSARY

This table provides a consistent and commonly agreed set of definitions for terms used in this Plan.

Business Continuity Planning	A process that helps develop a plan document to manage the risk to a business, ensuring that it can operate to the extent required in the event of a crisis/disaster.
Business Continuity Plan	A document containing all the information required to ensure the business is able to resume critical business activities should a crisis/disaster occur.
Business Continuity Management	Provides for the availability of processes and resources in order to ensure than continued achievement of critical objectives.
Critical Business Functions	Those functions essential to deliver outputs and achievement of business objectives.
Disaster	<p>Any event which prevents the Shire from carrying on its usual operations at the normal place of work for more than the predefined Maximum Acceptable Outage (MAO) periods.</p> <p>A disaster may include:</p> <ol style="list-style-type: none"> 1. Natural disaster 2. Accidental hazards 3. Hostile acts 4. Wilful or malicious damage 5. System/equipment failure 6. Loss or destruction of vital records or information 7. Loss or lack of critical support functions 8. Loss of key personnel 9. Pandemic
Disaster Recovery	Activities and procedures designed to return the organisation to an acceptable condition following a disaster.
Maximum Acceptable Outage (MAO)	The maximum period of time that critical business operations at an acceptable level during and following a disaster.
Recovery Time Objective (RTO)	The time from which a crisis/disaster is declared to the time that the critical business functions must be fully operational in order to avoid serious loss.
System Failure	When the delivered service no longer complies with the specifications, the latter being an agreed description of the system's expected function and/or service. This definition applies to both hardware and software systems. Faults or bugs

	in a hardware or a software component cause errors.
System Error	Is defined as that part of the system which is liable to lead to subsequent failure, and an error affecting the service is an indication that a failure occurs or has occurred. If the system comprises of multiple components, errors can lead to a component failure. As various components in the system interact, failure of one component might introduce one or more faults in another.