



SHIRE OF  
**DOWERIN**  
TIN DOG TERRITORY

# AGENDA

## Audit & Risk Committee Meeting

To be held in Council Chambers  
13 Cottrell Street, Dowerin WA 6461  
Tuesday 17 March 2020  
Commencing 10.30am





## NOTICE OF MEETING

Dear Audit & Risk Committee Members,

The next Audit & Risk Committee Meeting of the Shire of Dowerin will be held on Tuesday 17 March 2020 in the Shire of Dowerin Council Chambers, 13 Cottrell Street, Dowerin commencing at 10.30am. The format of the day will be:

10.30am	Audit & Risk Committee Meeting
2.00pm	Council Meeting
Immediately following Council Meeting	Council Workshop

Rebecca McCall  
Chief Executive Officer  
12 March 2020

### 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 this Agenda or are available by contacting the Shire Office on 08 9631 1202 or [dowshire@dowerin.wa.gov.au](mailto:dowshire@dowerin.wa.gov.au).

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Shire of Dowerin  
Audit & Risk Committee Meeting  
10.30am Tuesday 17 March 2020



1. Official Opening

2. Record of Attendance / Apologies / Leave of Absence

Councillors:

Cr DP Hudson	President
Cr RI Trepp	
Cr BA Ward	
Mr JB Whiteaker	

Staff

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

Members of the Public:

Apologies:

Approved Leave of Absence:

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 December 2019

[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 December 2019, 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 2019 Compliance Audit Return

<h2>Governance &amp; Compliance</h2>		 SHIRE OF <b>DOWERIN</b> TIN DOG TERRITORY
Date:	24 February 2020	
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/2020 March Audit & Risk Committee Meeting Organisation/Corporate Management/Reporting/2019 Compliance Audit Return	
Disclosure of Interest:	Nil	
Attachments:	<a href="#">Attachment 7.1A</a> - 2019 Compliance Audit Return	

Purpose of Report

Executive Decision

Legislative Requirement

Summary

This Item presents the 2019 Compliance Audit Return (CAR) to the Audit & Risk 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 Audit & Risk 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 for the period 1 January 2019 to 31 December 2019 has been completed and is included as an Attachment.

Comment

The CAR is one of the tools available to the Audit & Risk Committee and Council in its governance monitoring role. The CAR also forms part of the DLGSC's monitoring program. The 2019 CAR once again places emphasis on the need for the Audit & Risk 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 2019 CAR contains questions relating to:

1. Commercial Enterprises by Local Governments (5 questions);
2. Delegation of Power/Duty (13 questions);
3. Disclosure of Interest (19 questions);
4. Disposal of Property (2 questions);
5. Elections (Gift Register) (2 questions);
6. Finance (14 questions);
7. Integrated, Planning and Reporting (7 questions);
8. Local Government Employees (5 questions);
9. Optional Questions (4 questions); and
10. Tenders for Providing Goods and Services (27 questions).

The 2019 CAR has been completed in-house and identified three areas of non-compliance. These areas, and the remedial action taken to ensure they do not occur again, are detailed in the following table:

Category	Question	Response	Comment	Remedial Action
Local Government Employees	Were all vacancies for the position of CEO and other designated senior employees advertised and did the advertising comply with s.5.36(4), 5.37(3) and Admin Reg 18A?	No	Manager Corporate & Community Services position advertised 16 March 2019 in West Australian, on Seek & LG Assist, however the advertisement did not comply with Reg18A(2)(d) as it did not contain the duration of the proposed contract	The template for advertising senior employee positions has been amended to include a provision of the duration of the proposed contract
Tenders for Goods & Services	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?	No	Amount of consideration for each received tender as required by Reg24AG(2) was not included	The tender register template has been amended to include a provision for the consideration of each tender received
Disclosure of Interest	Were disclosures under section 5.65 or 5.70 recorded in the minutes of the meeting at which the disclosure was made?	No	CEO Performance Appraisal Item to November 2019 Meeting, the CEO made a disclosure of direct Financial Interest by completing the relevant declaration form and reporting the interest in the report presented to Council however the minute secretary did not include this disclosure in the Minutes	This is a case of unintentional human error. The minute secretary is well aware of the legislated disclosure requirements and will double check all minutes to ensure all disclosures are recorded accurately

The 2019 CAR included 104 questions. Of these, 101 were able to be answered on the basis of complying with the legislative requirements resulting in a 97% success rate. This compares with 94.7% compliance in 2018 over 95 questions and 98.9% over 94 questions in 2017.

The 2019 CAR demonstrates the Shire's ongoing commitment to statutory compliance and adequate response to non-compliance throughout the organisation.

Consultation

Senior Management Group

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

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

The Audit & Risk Committee would be contravening the *Local Government Act 1995* and the *Local Government (Audit) Regulations 1996* if this item was not considered.

The CAR covers a robust area of risk assessment and compliance with auditing in compliance with the *Local Government Act 1995* and associated Regulations. The objective of the CAR is to identify risks to the organisation where non-compliant activities may have taken place enabling processes and procedures to be developed or reviewed and amended, if required.

Financial Implications

Nil

Voting Requirements

Simple Majority

Absolute Majority

Officer's Recommendation - 7.1


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

1. Receives the 2019 Compliance Audit Return, as presented in Attachment 7.1A, noting the remedial action taken to address the three areas of non-compliance; and
2. Recommends to Council that it adopts the 2019 Compliance Audit Return and submits it to the Department of Local Government, Sport & Cultural Industries prior to 31 March 2020.

Please note that the Audit & Risk Committee does not have delegated authority to make decisions. All recommendations of the Audit & Risk Committee are presented to Council for ratification.



7.2 Business Continuity Plan

<h2>Governance &amp; Compliance</h2>		 SHIRE OF <b>DOWERIN</b> TIN DOG TERRITORY
Date:	4 March 2020	
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/Financial Management/Internal Audit Systems & Controls/Business Continuity Plan	
Disclosure of Interest:	Nil	
Attachments:	<a href="#">Attachment 7.2A</a> – Business Continuity Plan	

Purpose of Report



Executive Decision



Legislative Requirement

Summary

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

Background

The Shire of Dowerin’s Risk Management Governance Framework forms the policies and procedures to ensure the commitment and objectives regarding managing uncertainty that may impact the Shire’s strategies, goals and objectives. The framework includes a risk profiling tool identifying issues, actions, controls and treatments. Business disruption is identified as a risk profile:

Key Control:	Business & Community Disruption
Control Type:	Adequate
Action:	Finalise Draft Business Continuity Plan

Comment

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 will provide 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.

Consultation

Senior Management Group

Policy Implications

Policy 2.2 – Risk Management Policy

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

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

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

Financial Implications

There were no financial implications for this process as the BCP has been developed in-house. 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 – 7.2

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

1. Receives the Business Continuity Plan, as presented in Attachment 7.2A; and
2. Recommends to Council that it adopts the Business Continuity Plan.

Please note that the Audit & Risk Committee does not have delegated authority to make decisions. All recommendations of the Audit & Risk Committee are presented to Council for ratification.

7.3 Risk Dashboard Quarterly Report – March 2020

## Governance & Compliance



Date:	5 March 2020
Location:	Not Applicable
Responsible Officer:	Rebecca McCall, CEO
Author:	As Above
Legislation:	<i>Local Government Act 1995</i>
Sharepoint Reference:	Compliance/Risk Management/Reporting
Disclosure of Interest:	Nil
Attachments:	<a href="#">Attachment 7.3A</a> - Risk Dashboard Quarterly Report – March 2020

### Purpose of Report



Executive Decision



Legislative Requirement

### Summary

This Item presents the Risk Dashboard Quarterly Review 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.

Recommendations provided through the independent audit of the financial management systems and supporting report to the Regulation 17 report is included in the profile themes outlining actions and due date.

#### Consultation

Michael Sparks, Senior Risk Consultant - Risk and Governance Services, LGIS  
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

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

The Shire of Dowerin has adopted a 'Three Lines of Defence' model for the management of risk. This model ensures roles, responsibilities and accountabilities for decision making are structured to demonstrate effective governance and assurance. By operating within the approved risk appetite and framework, Council, management and the community will have assurance that risks are managed effectively to support the delivery of the strategic, corporate and operational plans.

#### Financial Implications

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

## Voting Requirements



Simple Majority



Absolute Majority

## Officer's Recommendation – 7.3

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

1. Receives the quarterly Risk Dashboard Quarterly Report – March 2020, as presented in Attachment 7.3A, 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 quarterly Risk Dashboard Quarterly Report – March 2020.

Please note that the Audit & Risk Committee does not have delegated authority to make decisions. All recommendations of the Audit & Risk Committee are presented to Council for ratification.

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8.	Questions from Members
9.	Urgent Business Approved by the Person Presiding or by Decision
10.	Date of Next Meeting June 2020 on a date and at a 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  
Thursday 19 December 2019



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10.	Date of Next Meeting
11.	Closure



Shire of Dowerin  
Audit & Risk Committee Meeting  
Thursday 19 December 2019



1. Official Opening

The Chair welcomed those in attendance and declared the meeting open at 9.30am.

2. Record of Attendance / Apologies / Leave of Absence

Councillors:

Cr DP Hudson	President
Cr AJ Metcalf	Proxy - Deputy President
Cr BA Ward	
Cr JC Chatfield	Observer
Cr LG Hagboom	Observer
Cr LH Holberton	Observer

Staff

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

Office of the Auditor General Mr L Wong (via teleconference until 9.46am)

AMD Chartered Accountants Ms M Cavallo (via teleconference until 9.46am)

Members of the Public: Nil

Apologies: Mr JB Whiteaker

Approved Leave of Absence: Cr RI Trepp (CMRef 0104)

Voting Requirements

Simple Majority  Absolute Majority

Committee's Recommendation/Resolution

Moved: Cr Metcalf Seconded: Cr Ward

0119 That, pursuant to Clause 3.2(1) of the Shire of Dowerin Standing Orders Local Law, Item 7.1 - Adoption of the 2018/19 Audited Financial Report be bought forward to enable discussion of the audited financials with the Office of the Auditor General and AMD Chartered Accountants as part of the Exit Interview.

CARRIED 3/0

Although Item 7.1 was bought forward it has been recorded in the numerical order of the Agenda. Refer to [Page 7](#) for the resolution of this item.

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 22 October 2019

[Attachment 5.1A](#)

Voting Requirements



Simple Majority



Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Ward

Seconded: Cr Metcalf

0120 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 22 October 2019, as presented in Attachment 5.1A, be confirmed as a true and correct record of proceedings.


CARRIED 3/0

6. PRESENTATIONS

The Exit Interview to discuss the Audited Financial Report, Management Report and any other relevant matters with representatives from the Office of the Auditor General and AMD Chartered Accountants, was conducted via teleconference (Refer [Item 7.1](#)) at the commencement of the meeting.

## 7. OFFICER'S REPORTS

### 7.1 Adoption of the 2018/19 Audited Financial Report

<h1>Corporate &amp; Community Services</h1>		 <b>SHIRE OF DOWERIN</b> TIN DOG TERRITORY
Date:	16 December 2019	
Location:	Not Applicable	
Responsible Officer:	Cherie Delmage, Manager Corporate & Community Services	
Author:	Vanessa Green, Executive & Governance Officer	
Legislation:	<i>Local Government Act 1995</i>	
Sharepoint Reference:	Organisation/Corporate Management/Reporting/2018-19 Audited Financial Report	
Disclosure of Interest:	Nil	
Attachments:	<a href="#">Attachment 7.1A</a> - 2018/19 Audited Financial Report (including Management Letters)	

#### Purpose of Report

Executive Decision

Legislative Requirement

#### Summary

This Item presents the 2018/19 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 2019 have been audited by the Auditors under the Office of the Auditor General (OAG).

The 2018/19 Audited Financial Report and Management Report are included as an Attachment.

#### Comment

Pursuant to its Terms of Reference, it is relevant that the Audit & Risk Committee considers the 2018/19 Annual Financial Statement, Auditors Report and Management Letter and where appropriate, makes recommendation(s) in respect of these reports.

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.

Furthermore, in accordance with Regulation 10(4) of the *Local Government (Audit) Regulations 1996*, where it is considered appropriate to do so, the Auditor may prepare a Management Report

to accompany the Auditor's Report, which is also to be forwarded to the persons specified in Section 7.9 of the *Local Government Act 1995*.

The Management 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.

#### 2018/19 Annual Report

Due to the timing of receiving the audited financial report it has not been possible to finalise the full 2018/19 Annual Report.

Local governments are required to adopt the annual report within 30 days of receiving the audited financial report and conduct an annual electors meeting (AEM) not more than 56 days after adopting the report.

Considering the above legislative timeline, as the 2018/19 Audited Financial Report was received on Monday 16 December 2019, along with the Annual Report, it must be adopted by Council no later than Wednesday 15 January 2020. With the Ordinary Meeting of Council scheduled for Wednesday 29 January 2020 it will therefore be necessary to conduct a Special Meeting of Council for this purpose.

Due to the Christmas/New Year period the Administration Office will be closed from Friday 20 December 2019 and reopen on Monday 6 January 2020. In addition, the Despatch will not be produced between 13 December 2019 and February 2020. This will limit the usual method available to the Shire in providing local public notice of the Special Council Meeting. However, Regulation 12(4) of the *Local Government (Administration) Regulations 1996* enables the CEO the discretion to determine the most practicable way in which to provide public notice, this can be via the Shire's website and social media channels, along with flyers on appropriate notice boards.

The date of the Special Council Meeting will affect the date(s) on which the AEM can be held. It is suggested that these dates be discussed with Council during its December 2019 Workshop.

#### Discussion with the OAG and Auditors

Representatives from the OAG and AMD Chartered Accountants will discuss the Management Report, and any other relevant matters, with the Audit & Risk Committee.

#### Consultation

#### OAG / Auditors

Rebecca McCall, Chief Executive Officer

Cherie Delmage, Manager Corporate & Community Services

#### 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

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.

Sections 5.53 & 5.54 of the *Local Government Act 1995* specifies local governments are to receive the Annual Report.

Sections 5.4 & 5.5 of the *Local Government Act 1995* specifies local governments are to convene Council Meetings.

Regulation 12 of the *Local Government (Administration) Regulations 1996* stipulates the methods of public notice of Council Meetings.

### Risk Implications

The Audit & Risk Committee, and Council, would be contravening the *Local Government Act 1995* and the *Local Government (Audit) Regulations 1996* if this item was not considered.

The external audit provides assurance for the accuracy of the end of year financial report.

It covers a robust area of risk assessment and compliance with auditing in compliance with Australian Accounting Standards.

### Financial Implications

Nil

### Voting Requirements

Simple Majority

Absolute Majority

### Officer's Recommendation/Resolution

Moved: Cr Metcalf

Seconded: Cr Ward

0121 That, in accordance with *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee:

1. adopts the 2018/19 Audited Financial Report, and receive the Auditor's Report and Management Report, as presented in Attachment 7.1A, from AMD Chartered Accountants for the 2018/19 financial year; and
2. recommends to Council that it adopts the 2018/19 Audited Financial Report, and receives the Auditor's Report and Management Report, as presented in Attachment 7.1A, from AMD Chartered Accountants for the 2018/19 financial year.

CARRIED 3/0

7.2 CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework - Regulation 17

## Governance & Compliance



Date:	
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/Compliance/Risk Management/2019 - CEO's Report for Audit Regulation 17
Disclosure of Interest:	Nil
Attachments:	<a href="#">Attachment 7.2A</a> - CEO's Regulation 17 Review Report

### Purpose of Report



Executive Decision



Legislative Requirement

### Summary

This Item presents the CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework - Regulation 17 to the Audit & Risk Committee for consideration and, if satisfactory, recommendation to Council for adoption.

### Background

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 review may relate to any or all of the matters referred to the sub-regulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review at least once every 3 calendar years.

The CEO is to report to the Audit & Risk Committee the results of that review.

To assist in developing the report, the CEO sought quotes from 3 external consultants to undertake an initial review of the Shire's systems and procedures, with the quote from Mr Gary Martin considered the best value for money. Therefore, Mr Martin was appointed to undertake the review. Mr Martin conducted the review onsite at the Shire Administration Office during the week commencing Monday 2 September 2019. Mr Martin's report was considered by the Audit & Risk Committee at its October 2019 meeting (CMRef 0055).

The 2019 review has identified that the Shire has made significant positive improvements relating to risk management since 2017 despite the changeover of CEOs, and these changes are continuing.

However, the current CEO reported to the Audit & Risk Committee in March 2019 that with the loss of key personnel during 2018, quarterly monitoring and reporting of the risk profiling tool did not take place. Also, that upon the commencement of the current CEO in late August 2018, there was an immediate need to concentrate on operational priorities. Although quarterly monitoring

or reporting did not occur, there has been an emphasis on reviewing identified policies and procedures to ensure the necessary controls are in place.

The CEO acknowledges the delay in further implementing the risk management process and is now actively pursuing that objective. This includes developing an internal Governance Calendar and implementing the Risk Dashboard (refer Item 7.4). The Dashboard will be reviewed quarterly in February, May, August and November of each calendar year and reported to the Audit & Risk Committee every six months (suggested as June and December).

A Risk Management standing item is also to be included for review in Senior Management action lists for discussion at Senior Staff meetings.

It is the intent of management to develop an action list, to include priorities to address the recommendations identified in Mr Martin's review report, which will be presented to the Audit & Risk Committee and Council in December 2019 with the full report on the CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework.

It is then anticipated that the report on the CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework will be reviewed and presented to the Audit & Risk Committee and Council on an annual basis (in December each calendar year).

#### Comment

The full report is included as an Attachment and provides commentary on a number of topics.

#### Consultation

Mr Gary Martin, Local Government Consultant  
Rebecca McCall, Chief Executive Officer  
Senior Management Group

#### Policy Implications

Policy 2.2 – Risk Management Policy applies.

#### 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* states:

"17. CEO to review certain systems and procedures

(1) The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to –

(a) risk management; and

- (b) *internal control; and*
- (c) *legislative compliance.*
- (2) *The review may relate to any or all of the matters referred to in subregulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review not less than once in every 3 financial years.*
- (3) *The CEO is to report to the audit committee the results of that review.”*

Risk Implications

The Audit & Risk Committee, and Council, would be contravening the *Local Government Act 1995* and the *Local Government (Audit) Regulations 1996* if this item was not considered.

The Shire of Dowerin has a Risk Management Governance Framework which includes a policy and procedure. The framework provides tools that monitor the Shire’s risk profile on a quarterly basis. When regular monitoring and review takes place risk implications are low.

Financial Implications

Nil

Voting Requirements



Simple Majority



Absolute Majority

Officer’s Recommendation/Resolution

Moved: Cr Ward

Seconded: Cr Metcalf

0122 That, in accordance with Regulation 17 of the *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee:

1. receives the Chief Executive Officer’s review of the Regulation 17 Report consisting of Shire of Dowerin’s Risk Management, Internal Controls and Legislative Compliance report as presented in Attachment 7.2A;
2. receives the Chief Executive Officer’s review the Shire of Dowerin Risk Dashboard Report as presented in Attachment 7.2B; and
3. recommends adoption of the Chief Executive Officer’s review of the Regulation 17 Report consisting of Shire of Dowerin’s Risk Management, Internal Controls and Legislative Compliance report and the Shire of Dowerin Risk Dashboard Report by Council.

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 Next Meeting
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February/March 2020 on a date and at a time yet to be determined.

11.	Closure
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There being no further business the Chair thanked those in attendance and declared the meeting closed at 9.53am.

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of  
**Local Government, Sport  
and Cultural Industries**

## Dowerin - Compliance Audit Return 2019

### Certified Copy of Return

Please submit a signed copy to the Director General of the Department of Local Government, Sport and Cultural Industries together with a copy of section of relevant minutes.

<b>Commercial Enterprises by Local Governments</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s3.59(2)(a)(b)(c) F&G Reg 7,9	Has the local government prepared a business plan for each major trading undertaking in 2019?	N/A	No major trading undertakings are planned	Vanessa Green
2	s3.59(2)(a)(b)(c) F&G Reg 7,10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2019?	N/A	No major land transactions occurred or are planned	Vanessa Green
3	s3.59(2)(a)(b)(c) F&G Reg 7,10	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 2019?	N/A		Vanessa Green
4	s3.59(4)	Has the local government complied with public notice and publishing requirements of each proposal to commence a major trading undertaking or enter into a major land transaction for 2019?	N/A		Vanessa Green
5	s3.59(5)	Did the Council, during 2019, resolve to proceed with each major land transaction or trading undertaking by absolute majority?	N/A		Vanessa Green



<b>Delegation of Power / Duty</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s5.16, 5.17, 5.18	Were all delegations to committees resolved by absolute majority?	N/A	No committees have delegated authority	Vanessa Green
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing?	N/A	No committees have delegated authority	Vanessa Green
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17?	N/A	No committees have delegated authority	Vanessa Green
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations?	N/A	No committees have delegated authority	Vanessa Green
5	s5.18	Has Council reviewed delegations to its committees in the 2018/2019 financial year?	N/A	No committees have delegated authority	Vanessa Green
6	s5.42(1),5.43 Admin Reg 18G	Did the powers and duties of the Council delegated to the CEO exclude those as listed in section 5.43 of the Act?	Yes		Vanessa Green
7	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO resolved by an absolute majority?	Yes		Vanessa Green
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing?	Yes		Vanessa Green
9	s5.44(2)	Were all delegations by the CEO to any employee in writing?	Yes		Vanessa Green
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority?	Yes		Vanessa Green
11	s5.46(1)	Has the CEO kept a register of all delegations made under the Act to him and to other employees?	Yes		Vanessa Green
12	s5.46(2)	Were all delegations made under Division 4 of Part 5 of the Act reviewed by the delegator at least once during the 2018/2019 financial year?	Yes	Delegations Register reviewed and adopted June 2019 (Item 11.3)	Vanessa Green
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 as required?	Yes		Vanessa Green

<b>Disclosure of Interest</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s5.67	If a member disclosed an interest, did he/she ensure that they did not remain present to participate in any discussion or decision-making procedure relating to the matter in which the interest was disclosed (not including participation approvals granted under s5.68)?	Yes		Vanessa Green



No	Reference	Question	Response	Comments	Respondent
2	s5.68(2)	Were all decisions made under section 5.68(1), and the extent of participation allowed, recorded in the minutes of Council and Committee meetings?	N/A	Where an interest was declared the member left the room and did not seek Council's permission to participate in the matter	Vanessa Green
3	s5.73	Were disclosures under section 5.65 or 5.70 recorded in the minutes of the meeting at which the disclosure was made?	No	CEO Performance Appraisal Item to November 2019 Meeting - the CEO made a disclosure of direct financial interest by completing the relevant declaration form and reporting the interest in the report presented to Council, however the minute secretary did not include this disclosure in the Minutes	Vanessa Green
4	s5.73	Where the CEO had an interest relating to a gift under section 5.71A(1), was written notice given to the Council?	N/A	The CEO did not receive a gift from a donor who then required a report to be presented or provided to Council	Vanessa Green
5	s5.73	Where the CEO had an interest relating to a gift in a matter in respect of a report another employee is providing advice on under section 5.71A (3), was the nature of interest disclosed when the advice or report was provided?	N/A	This scenario did not arise during the reporting period	Vanessa Green
6	s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly elected members within three months of their start day?	Yes		Vanessa Green
7	s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly designated employees within three months of their start day?	Yes		Vanessa Green
8	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2019?	Yes		Vanessa Green
9	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2019?	Yes		Vanessa Green
10	s5.77	On receipt of a primary or annual return, did the CEO, (or the Mayor/ President in the case of the CEO's return) on all occasions, give written acknowledgment of having received the return?	Yes		Vanessa Green
11	s5.88(1)(2) Admin Reg 28	Did the CEO keep a register of financial interests which contained the returns lodged under section 5.75 and 5.76?	Yes		Vanessa Green
12	s5.88(1)(2) 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 and 5.71, in the form prescribed in Administration Regulation 28?	Yes		Vanessa Green



No	Reference	Question	Response	Comments	Respondent
13	s5.89A Admin Reg 28A	Did the CEO keep a register of gifts which contained a record of disclosures made under section 5.71A, in the form prescribed in Administration Regulation 28A?	Yes		Vanessa Green
14	s5.88 (3)	Has the CEO removed all returns from the register when a person ceased to be a person required to lodge a return under section 5.75 or 5.76?	Yes		Vanessa Green
15	s5.88(4)	Have all returns lodged under section 5.75 or 5.76 and removed from the register, been kept for a period of at least five years, after the person who lodged the return ceased to be a council member or designated employee?	Yes		Vanessa Green
16	s5.103 Admin Reg 34C & Rules of Conduct Reg 11	Where an elected member or an employee disclosed an interest in a matter discussed at a Council or committee meeting where there was a reasonable belief that the impartiality of the person having the interest would be adversely affected, was it recorded in the minutes?	N/A	This scenario did not arise during the reporting period	Vanessa Green
17	s5.70(2)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to the Council or a Committee, did that person disclose the nature of that interest when giving the advice or report?	Yes	CEO Performance Appraisal - a direct financial interest was declared in the report	Vanessa Green
18	s5.70(3)	Where an employee disclosed an interest under s5.70(2), did that person also disclose the extent of that interest when required to do so by the Council or a Committee?	Yes		Vanessa Green
19	s5.103(3) Admin Reg 34B	Has the CEO kept a register of all notifiable gifts received by Council members and employees?	Yes		Vanessa Green

### Disposal of Property

No	Reference	Question	Response	Comments	Respondent
1	s3.58(3)	Was local public notice given prior to disposal for any property not disposed of by public auction or tender (except where excluded by Section 3.58(5))?	Yes		Vanessa Green
2	s3.58(4)	Where the local government disposed of property under section 3.58(3), did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property?	Yes		Vanessa Green



<b>Elections</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	Elect Reg 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 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 candidates?	Yes	A register exists however no gifts were received/declared by candidates during the election process	Vanessa Green
2	Elect Reg 30G(3) & (4)	Did the CEO remove any 'disclosure of gifts' forms relating to an unsuccessful candidate or a successful candidate that completed the term of office from the electoral gift register, and retain those forms separately for a period of at least 2 years?	N/A	A register exists however as no gifts have been received/declared by candidates during this and previous elections processes, there are no forms to remove	Vanessa Green

<b>Finance</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s7.1A	Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Act?	Yes	October 2019 (CMRef 0060)	Vanessa Green
2	s7.1B	Where a local government determined to delegate to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority?	N/A	Audit & Risk Committee does not have delegated authority	Vanessa Green
3	s7.3(1)	Was the person(s) appointed by the local government under s7.3(1) to be its auditor, a registered company auditor?	N/A	Auditor appointed by the Office of the Auditor General	Vanessa Green
4	s7.3(1), 7.6(3)	Was the person or persons appointed by the local government to be its auditor, appointed by an absolute majority decision of Council?	N/A	Auditor appointed by the Office of the Auditor General	Vanessa Green
5	Audit Reg 10	Was the Auditor's report(s) for the financial year(s) ended 30 June received by the local government within 30 days of completion of the audit?	Yes	Audit completed 19 December 2019	Vanessa Green
6	s7.9(1)	Was the Auditor's report for the financial year ended 30 June 2019 received by the local government by 31 December 2019?	Yes	Received on 19 December 2019	Vanessa Green
7	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?	Yes	Actions taken are detailed in the Management Comment of the auditor's report	Vanessa Green



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No	Reference	Question	Response	Comments	Respondent
8	S7.12A (4)	Where the auditor identified matters as significant in the auditor's report (prepared under s7.9(1) of the Act), did the local government prepare a report stating what action had been taken or it intended to take with respect to each of the matters and give a copy to the Minister within 3 months after receipt of the audit report?	N/A	No significant matters were raised	Vanessa Green
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?	N/A	No significant matters were identified hence no report was required to be provided to the Minister or published on the website	Vanessa Green
10	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit?	N/A	Auditor appointed by the Office of the Auditor General	Vanessa Green
11	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit?	N/A	Auditor appointed by the Office of the Auditor General	Vanessa Green
12	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit?	N/A	Auditor appointed by the Office of the Auditor General	Vanessa Green
13	Audit Reg 7	Did the agreement between the local government and its auditor include details of the remuneration and expenses to be paid to the auditor?	N/A	Auditor appointed by the Office of the Auditor General	Vanessa Green
14	Audit Reg 7	Did the agreement between the local government and its auditor include the method to be used by the local government to communicate with, and supply information to, the auditor?	N/A	Auditor appointed by the Office of the Auditor General	Vanessa Green



<b>Integrated Planning and Reporting</b>						
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>	
1	s5.56 Admin Reg 19DA (6)	Has the local government adopted a Corporate Business Plan. If Yes, please provide adoption date of the most recent Plan in Comments?	Yes	19 November 2013 Item 9.1.2. Plan covered the period 2013-2015	Vanessa Green	
2	s5.56 Admin Reg 19DA (4)	Has the local government reviewed the Corporate Business Plan in the 2018-2019 Financial Year. If Yes, please provide date of Council meeting the review was adopted at?	Yes	26 February 2019 Item 10.1.8	Vanessa Green	
3	s5.56 Admin Reg 19C	Has the local government adopted a Strategic Community Plan. If Yes, please provide adoption date of the most recent Plan in Comments?	Yes	27 March 2018 Item 10.1.9	Vanessa Green	
4	s5.56 Admin Reg 19C (4)	Has the local government reviewed the current Strategic Community Plan. If Yes, please provide date of most recent review by Council in Comments.  Note: If the current Strategic Community Plan was adopted after 1/1/2016, please respond N/A and provide adoption date in Comments?	N/A	Review is not due until March 2020	Vanessa Green	
5	S5.56 Admin Reg 19DA (3)	Has the local government developed an Asset Management Plan(s) that covers all asset classes. If Yes, please provide the date of the most recent Plan adopted by Council in Comments?	Yes	May 2018 Item 10.2.3	Vanessa Green	
6	S5.56 Admin Reg 19DA (3)	Has the local government developed a Long Term Financial Plan. If Yes, please provide the adoption date of the most recent Plan in Comments?	Yes	May 2018 Item 10.2.3	Vanessa Green	
7	S5.56 Admin Reg 19DA (3)	Has the local government developed a Workforce Plan. If Yes, please provide adoption date of the most recent Plan in comments?	Yes	May 2019 Item 10.1.5	Vanessa Green	





<b>Local Government Employees</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	Admin Reg 18C	Did the local government approve the process to be used for the selection and appointment of the CEO before the position of CEO was advertised?	N/A	A recruitment process for the CEO was not required during the reporting period	Vanessa Green
2	s5.36(4) s5.37(3), Admin Reg 18A	Were all vacancies for the position of CEO and other designated senior employees advertised and did the advertising comply with s.5.36(4), 5.37(3) and Admin Reg 18A?	No	Manager Corporate & Community Services position advertised 16 March 2019 in West Australian, on Seek & LG Assist, however the advertisement did not comply with Reg18A(2) (d) as it did not contain the duration of the proposed contract	Vanessa Green
3	Admin Reg 18F	Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position of CEO under section 5.36(4)?	N/A	A recruitment process for the CEO was not required during the reporting period	Vanessa Green
4	Admin Regs 18E	Did the local government ensure checks were carried out to confirm that the information in an application for employment was true (applicable to CEO only)?	N/A	A recruitment process for the CEO was not required during the reporting period	Vanessa Green
5	s5.37(2)	Did the CEO inform Council of each proposal to employ or dismiss a designated senior employee?	Yes	Manager Corporate & Community Services position appointed May 2019 (Item 13.1.2)	Vanessa Green



<b>Official Conduct</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s5.120	Where the CEO is not the complaints officer, has the local government designated a senior employee, as defined under s5.37, to be its complaints officer?	N/A	CEO is complaints officer	Vanessa Green
2	s5.121(1)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that result in action under s5.110(6)(b) or (c)?	Yes	A register exists however no complaints have been made during the reporting period	Vanessa Green
3	s5.121(2)(a)	Does the complaints register maintained by the complaints officer include provision for recording of the name of the council member about whom the complaint is made?	Yes		Vanessa Green
4	s5.121(2)(b)	Does the complaints register maintained by the complaints officer include provision for recording the name of the person who makes the complaint?	Yes		Vanessa Green
5	s5.121(2)(c)	Does the complaints register maintained by the complaints officer include provision for recording a description of the minor breach that the standards panel finds has occurred?	Yes		Vanessa Green
6	s5.121(2)(d)	Does the complaints register maintained by the complaints officer include the provision to record details of the action taken under s5.110(6)(b) or (c)?	Yes		Vanessa Green



<b>Optional Questions</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
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 Local Government (Financial Management) Regulation 5 (2)(c) within the 3 years prior to 31 December 2019? If yes, please provide date of Council resolution in comments?	Yes	November 2019 (CMRef 0082)	Vanessa Green
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 Local Government (Audit) Regulation 17 within the 3 years prior to 31 December 2019? If yes, please provide date of Council resolution in comments?	Yes	November 2019 (CMRef 0083)	Vanessa Green
3	Financial Management Reg 5A.	Did the local government provide AASB 124 related party information in its annual report(s) tabled at an electors meeting(s) during calendar year 2019?	Yes	2017/18 Annual Report Item 19 Page 36 presented to AEM on 5 February 2019. 2018/19 AEM scheduled for 18 February 2020	Vanessa Green
4	S6.4(3)	Did the local government submit to its auditor by 30 September 2019 the balanced accounts and annual financial report for the year ending 30 June 2019?	Yes	Submitted on 25 September 2019	Vanessa Green

<b>Tenders for Providing Goods and Services</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s3.57 F&G Reg 11	Did the local government invite tenders on all occasions (before entering into 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 Regulation 11(1) of the Local Government (Functions & General) Regulations (Subject to Functions and General Regulation 11(2))?	Yes		Vanessa Green
2	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than inviting tenders for a single contract?	Yes		Vanessa Green
3	F&G Reg 14(1) & (3)	Did the local government invite tenders via Statewide public notice?	Yes	T2019-01 Farm Weekly 24 January 2019, T2019-02 West Australian 1 February 2019	Vanessa Green



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No	Reference	Question	Response	Comments	Respondent
4	F&G Reg 14 & 15	Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16?	Yes		Vanessa Green
5	F&G Reg 14(5)	If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer, notice of the variation?	N/A	No information was required to be varied	Vanessa Green
6	F&G Reg 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of F&G Reg 16?	Yes		Vanessa Green
7	F&G Reg 18(1)	Did the local government reject the tenders that were not submitted at the place, and within the time specified in the invitation to tender?	N/A	No tenders were not submitted at the place and within the time specified in the invitation to tender	Vanessa Green
8	F&G Reg 18 (4)	In relation to the tenders that were not rejected, did the local government assess which tender to accept and which tender was most advantageous to the local government to accept, by means of written evaluation criteria?	Yes		Vanessa Green
9	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?	Yes		Vanessa Green
10	F&G Reg 19	Did the CEO give each tenderer written notice advising particulars of the successful tender or advising that no tender was accepted?	Yes		Vanessa Green
11	F&G Reg 21 & 22	Did the local governments advertising and expression of interest documentation comply with the requirements of F&G Regs 21 and 22?	N/A	No expressions of interest were called during the reporting period	Vanessa Green
12	F&G Reg 23(1)	Did the local government reject the expressions of interest that were not submitted at the place and within the time specified in the notice?	N/A	No expressions of interest were called during the reporting period	Vanessa Green
13	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?	N/A	No expressions of interest were called during the reporting period	Vanessa Green
14	F&G Reg 24	Did the CEO give each person who submitted an expression of interest, a notice in writing in accordance with Functions & General Regulation 24?	N/A	No expressions of interest were called during the reporting period	Vanessa Green
15	F&G Reg 24AC (1) & (2)	Has the local government established a policy on procurement of goods and services from pre-qualified suppliers in accordance with the regulations?	Yes	Policy 4.11 Purchasing Policy	Vanessa Green



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No	Reference	Question	Response	Comments	Respondent
16	F&G Reg 24AD(2)	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice?	Yes	West Australian 1 February 2019	Vanessa Green
17	F&G Reg 24AD(4) & 24AE	Did the local government's advertising and panel documentation comply with F&G Regs 24AD(4) & 24AE?	Yes		Vanessa Green
18	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 panel application?	Yes		Vanessa Green
19	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, given notice of the variation?	N/A	No information was required to be varied	Vanessa Green
20	F&G Reg 24AH(1)	Did the local government reject the applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time specified in the invitation for applications?	N/A	No tenders were not submitted at the place and within the time specified in the invitation to tender	Vanessa Green
21	F&G Reg 24AH(3)	In relation to the applications that were not rejected, did the local government assess which application (s) to accept and which application(s) were most advantageous to the local government to accept, by means of written evaluation criteria?	Yes		Vanessa Green
22	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?	No	Amount of consideration for each received tender as required by Reg24AG (2) was not included	Vanessa Green
23	F&G Reg 24AI	Did the CEO send each person who submitted an application, written notice advising if the person's application was accepted and they are to be part of a panel of pre-qualified suppliers, or, that the application was not accepted?	Yes		Vanessa Green
24	F&G Reg 24E	Where the local government gave a regional price preference, did the local government comply with the requirements of F&G Reg 24E including the preparation of a regional price preference policy?	N/A	The Regional Price Preference Policy had not been adopted at the time of the tender (Tender February 2019, Policy adopted November 2019)	Vanessa Green
25	F&G Reg 24F	Did the local government comply with the requirements of F&G Reg 24F in relation to an adopted regional price preference policy?	Yes	Policy adopted November 2019 (CMRef 0085)	Vanessa Green



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No	Reference	Question	Response	Comments	Respondent
26	F&G Reg 11A	Does the local government have a current purchasing policy that comply with F&G Reg 11A(3) in relation to contracts for other persons to supply goods or services where the consideration under the contract is, or is expected to be, \$150,000 or less?	Yes		Vanessa Green
27	F&G Reg 11A	Did the local government comply with it's current purchasing policy in relation to the supply of goods or services where the consideration under the contract is, or is expected to be \$150,000 or less or worth \$150,000 or less?	Yes		Vanessa Green

I certify this Compliance Audit return has been adopted by Council at its meeting on \_\_\_\_\_

\_\_\_\_\_  
Signed Mayor / President, Dowerin

\_\_\_\_\_  
Signed CEO, Dowerin



# Business Continuity Plan

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## 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
Glen Brigg	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
Sam Williams	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
Carol Braddon	Fire Warden - Dowerin Home Care		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 - Damien's	9622 2490 / 0418 959 039
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.

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](http://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.

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



## 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.

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

### 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.

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

#### 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.

<b>Incident Response Team</b>	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
<b>Recovery Procedure</b>	Undertake the following steps <b>(CEO)</b> : <ol style="list-style-type: none"><li>1. Establish working group to:<ol style="list-style-type: none"><li>a. Review operations for location of new premises</li><li>b. Undertake design and tendering processes</li><li>c. Oversee construction of new premises</li><li>d. Oversee commissioning of new premises</li></ol></li><li>2. Present review findings to Council for decision</li><li>3. Appoint architect, exterior and interior designers, engineers and other necessary assistance to design, specify and document new premises</li><li>4. Issue tenders, appoint contractor(s) and commence construction</li><li>5. Commission new premises and commence operations from new building</li></ol>	
<b>Recovery Time Objective</b>	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	
<b>Resource Requirements</b>	<ol style="list-style-type: none"><li>1. Planning assistance</li><li>2. Consultants/architects</li><li>3. Builders &amp; contractors</li></ol>	

## 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		
<b>Incident Response Team</b>	Team Leader:	Chief Executive Officer
	Team Members:	Manager Corporate & Community Services Executive & Governance Officer Records Officer(s) IT Provider(s)
<b>Recovery Procedure</b>	Undertake the following steps: <ol style="list-style-type: none"> <li>1. Assess severity of outage through the Shire's IT provider(s) and determine likely outage time</li> <li>2. Seek quotations and place orders for replacement components</li> <li>3. Contact Shire's insurers and Police if necessary</li> <li>4. Inform Council, community and business contacts (ie banks, creditors and contractors) of potential delays in providing services</li> <li>5. Set up and install new hardware. Install all software and restore from backups</li> <li>6. Reconcile and rebuild all data</li> </ol>	
<b>Recovery Time Objective</b>	2 to 4 weeks	
<b>Resource Requirements</b>	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.		
<b>Incident Response Team</b>	Team Leader:	Chief Executive Officer
	Team Members:	Manager Works & Assets Works Administration Officer Fire Warden(s) Shire President (media liaison)
<b>Recovery Procedure</b>	Incident Response Team Leader/Fire Warden to undertake the following steps: <ol style="list-style-type: none"> <li>1. Ensure site has been evacuated and all personnel are accounted for</li> <li>2. Secure site and prevent access</li> <li>3. Contact Emergency Services and Police</li> <li>4. Identify any injuries and render assistance</li> <li>5. Engage Incident Response Team</li> <li>6. Undertake an initial assessment of damage and risks</li> <li>7. Team Leader determines time frame to switch to disaster recovery site</li> </ol>	
<b>Recovery Time Objective</b>	Time frame for this activity is within 24 hours of the incident	
<b>Recovery Location</b>	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.		
<b>Resource Requirements</b>	<ol style="list-style-type: none"> <li>1. Mobile phones</li> <li>2. Personnel</li> <li>3. Ablutions (may need to be hired in)</li> <li>4. Fuel (may need to be ordered in)</li> </ol>	
<b>Other Considerations</b>	<ol style="list-style-type: none"> <li>1. Secure the affected area as necessary</li> <li>2. Restrict access to the building/site</li> <li>3. Liaise with Emergency Services and Police</li> <li>4. Inform Local Government Insurance Services (LGIS)</li> <li>5. Inform Elected Members and employees</li> <li>6. Liaise with Shire President to make a press release</li> <li>7. Inform community where possible</li> </ol>	

## 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.

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

### 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.

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

#### 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.

<b>Incident Response Team</b>	Team Leader:	Chief Executive Officer
	Team Members:	Manager Works & Assets Works Administration Officer Working Group appointed by Council
<b>Recovery Procedure</b>	Undertake the following steps <b>(CEO, Manager Works &amp; Assets)</b> : <ol style="list-style-type: none"><li>1. Establish working group to:<ol style="list-style-type: none"><li>a. Review operations for location of new premises</li><li>b. Undertake design and tendering processes</li><li>c. Oversee construction of new premises</li><li>d. Oversee commissioning of new premises</li></ol></li><li>2. Present review findings to Council for decision</li><li>3. Appoint engineers and other necessary assistance to design, specify and document new premises</li><li>4. Issue tenders, appoint contractor(s) and commence construction</li><li>5. Commission new premises and commence operations</li></ol>	
<b>Recovery Time Objective</b>	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	
<b>Resource Requirements</b>	<ol style="list-style-type: none"><li>1. Planning assistance</li><li>2. Consultants/engineers</li><li>3. Builders &amp; contractors</li></ol>	



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

## 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.

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

### 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.

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

#### 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.

<b>Incident Response Team</b>	Team Leader:	Chief Executive Officer
	Team Members:	Manager Corporate & Community Services Manager Works & Assets Dowerin Home Care Coordinator Works Administration Officer Working Group appointed by Council
<b>Recovery Procedure</b>	Undertake the following steps <b>(CEO)</b> : 1. Establish working group to: <ol style="list-style-type: none"> <li>a. Review operations for location of new premises</li> <li>b. Undertake design and tendering processes</li> <li>c. Oversee construction of new premises</li> <li>d. Oversee commissioning of new premises</li> </ol> 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	
<b>Recovery Time Objective</b>	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 Dowerin Home Care Office within 12 months	
<b>Resource Requirements</b>	<ol style="list-style-type: none"> <li>1. Planning assistance</li> <li>2. Consultants/architects</li> <li>3. Builders &amp; contractors</li> </ol>	

## 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"> <li>refocused efforts towards recovery?</li> </ul>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>deactivated staff members and resources as necessary?</li> </ul>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>continued to gather information about the situation as it affects you?</li> </ul>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>assessed your current financial position?</li> </ul>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>reviewed cash requirements to restore operations?</li> </ul>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>contacted your insurance broker/company?</li> </ul>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>developed financial goals and timeframes for recovery?</li> </ul>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>kept staff informed?</li> </ul>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>kept key stakeholders informed?</li> </ul>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>identified information requirements and sourced the information?</li> </ul>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>set priorities and recovery options?</li> </ul>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>updated the Recovery Plan?</li> </ul>	<input type="checkbox"/>	
<ul style="list-style-type: none"> <li>captured lessons learnt from your individual, team and business recovery?</li> </ul>	<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  <b>Section 1 Loss or damage to vehicles as per Interest Insured.</b> 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. <b>Section 2 Cover for Third Party Liability</b> \$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	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
	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.	work is 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			
LGIS Liability	<b>Section A</b> Public Liability - \$600 Million any one occurrence Products Liability - \$600 Million any one occurrence and in the aggregate any one period of protection <b>Section B</b> Professional Indemnity any one occurrence and in the aggregate any one period of protection	As per LGIS Liability Protection Policy Wording Version 17 dated June 2019 – Exclusions (pages 10-15)  Any Excesses which may apply	LGIS – Sandra Clohessey (9483 8865) Policy No 000115	30 June Annually	Annually
LGIS WorkCare	<b>Workers Compensation</b> Coverage is granted to The Member in accordance with the Workers Compensation and Injury Management Act (1981)(as amended) including Unlimited Common Law <b>Journey Accident Cover</b> 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:	As per LGIS WorkCare Protection June09 – Nil Exclusions & Chubb Journey Accident Insurance Policy Wording 16PDSJA03 – General Exclusions Applicable To The Policy (page 25)	LGIS – Sandra Clohessey (9483 8865) Policy No 000591	30 June Annually	Annually

Insurance type	Policy coverage	Policy exclusions	Insurance company and contact	Last review date	Payments due
	\$300,000 Weekly Benefits: 100% up to \$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

Insurance type	Policy coverage	Policy exclusions	Insurance company and contact	Last review date	Payments due
Crime	Loss must be a direct financial loss sustained by The Member anywhere in the world in connection with a single act or series of related continuous or repeated acts of: a) an internal crime; or b) an external crime; or c) a theft; or d) physical loss or damage \$500,000	As per LGIS Liability Scheme providing protection for the first \$50,000 any one loss, 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	LGIS - Sandra Clohessey (9483 8865) Policy No 05CH005846	30 June Annually	Annually

## 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"> <li>• Finance and Accounting</li> <li>• Payroll</li> <li>• Environmental Health</li> </ul>	High	<ul style="list-style-type: none"> <li>• 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</li> <li>• The urgent re-establishment of these critical needs may result in Council breaching various statutory and service requirements</li> <li>• There will be a minor impact on customer services which may temporarily reflect upon Council poorly</li> <li>• The re-establishment of the service will depend on many alternate suppliers, such as IT and Communication suppliers, electricity and software providers.</li> </ul>	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"> <li>• Road construction and maintenance</li> <li>• Public conveniences</li> </ul>	High	<ul style="list-style-type: none"> <li>• Re-establishment/incremental costs:               <ul style="list-style-type: none"> <li>◦ Machinery at hire rates</li> <li>◦ Public conveniences - no impact</li> </ul> </li> <li>• 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</li> <li>• There will be minor impact on customer services which may temporarily reflect upon Council poorly</li> <li>• The urgent re-establishment of these critical needs may result in Council temporarily breaching various statutory and service requirements</li> </ul>	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"> <li>1. Natural disaster</li> <li>2. Accidental hazards</li> <li>3. Hostile acts</li> <li>4. Wilful or malicious damage</li> <li>5. System/equipment failure</li> <li>6. Loss or destruction of vital records or information</li> <li>7. Loss or lack of critical support functions</li> <li>8. Loss of key personnel</li> </ol>
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.



## Shire of Dowerin Risk Dashboard Report - March 2020

<b>Asset Management Practices</b>			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	Completed	MWA		
Update RAMM with Revaluation Data	Completed	MWA		
Link Building Maintenance Schedule to AMP	Dec-20	MWA / MCCS		
Review Asset Management Plan	Dec-20	SMT		
Develop Inspection Schedule for Asset Classes	Completed	MWA / TWC		
Review LTFP and Link to AMP	Feb-21	MCCS / MWA / CEO		
Review Fuel Stock Control System	May-20	MWA / MCCS		

<b>Business &amp; Community Disruption</b>			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	Apr-20	CEO		
Finalise Draft Business Continuity Plan	Apr-20	CEO		
Business Continuity Plan Drill to be Undertaken Annually	Jul-20	CEO / MCCS		
Develop IT Disaster Recovery Plan	Dec-20	MCCS		
Fire Breaks Inspected and Enforced Annually	Completed	MCCS		
Fire Fighting Equipment Maintained and Serviced	Completed	MWA		
Wardens (Internal) - Training of New Wardens	Jun-20	SMT		
Admin Generator Maintained and Serviced	Completed	MWA		
Develop Facility Risk Management Plan	Dec-21	CEO / MCCS		

<b>Failure to fulfil Compliance Requirements (Statutory and Regulatory)</b>			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	Jun-20	CEO / EGO		
Continue Implementation of Training Program for Councillors and Staff	Ongoing	SMT / EGO		
Review Councillor Induction Manual	Completed	EGO		
Review Human Resource Management System	Ongoing	CEO / MCCS		
Review Information Management System	Dec-20	MCCS		

<b>Document Management Processes</b>			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		
Document Information Management Framework	Jun-20	CSRO		
Information Management Staff Training	Ongoing	MCCS		
Review Record Keeping Plan	Jun-21	MCCS		

<b>Employment Practices</b>			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-20	SMT		
Implement Strategies Identified in the Workforce Plan	Ongoing	SMT		
Document Human Resource Management Framework	Jun-20	SMT		
Training Needs Analysis and Training Register	May-20	CEO / CSRO		
Review Staff Induction Process	Completed	MCCS		
Conduct Annual Performance Reviews	Apr-20	SMT		
Conduct Drivers License Checks	Completed	MCCS		

<b>Engagement Practices</b>			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 and Document Complaints Handling Process	Jun-20	CEO / MCCS		
Develop a Community Engagement Policy Framework	Jun-20	SMT / CDO		
Conduct Community Satisfaction Survey	Jun-20	CEO / CDO		
Develop Process For Customer Response Requests	Jun-20	MCCS		
Develop Complaint Register	Jun-20	MCCS		

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

<b>Errors, Omissions &amp; Delays</b>			Risk	Control
			Low	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	Jun-20	CEO / EGO		
Overall Control Ratings:	Ongoing	CEO / MCCS		
Centralise Checklists, Controls and Procedures	Dec-20	CEO / MCCS		
Review Customer Service Request Process to include Snap Send Solve	Apr-20	MCCS		

<b>External Theft &amp; Fraud (Including Cyber)</b>			Risk	Control
			Low	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	Jun-20	SMT		
Photographic Record of Assets	Jun-20	MWA / TWC		
Implement Quarterly Schedule For Changing Passwords	Ongoing	MCCS		
Review Security and Storage of Records	Dec-21	MCCS		
Document Financial Management System	Ongoing	MCCS		

## Shire of Dowerin Risk Dashboard Report - March 2020

Management of Facilities / Venues / Events			Risk	Control
			Low	Adequate
Failure to effectively manage the day to day operations of facilities, venues and / or events.				
Actions	Due Date	Responsibility		
Develop Event Management Framework	Jun-20	CDO		
Develop Recreational Reserves Management System	Dec-20	MCCS / MWA		
Create Inspection and Maintenance Schedules for Event Equipment	Jun-20	CDO		
Undertake Community Facilities Review	Jun-20	CEO / CDO		
Public Buildings Inspected for Compliance	Dec-20	MWA		
Residual Risk Rating				

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.				
Actions	Due Date	Responsibility		
Develop IT Disaster Recovery Plan	Dec-20	MCCS		
Review IT Management Service Level Agreement	Jun-20	MCCS		
Document IT Infrastructure Replacement Program	Jul-20	MCCS		
Install Advanced Email Protection	Jun-20	MCCS		
Develop Secure Password Policy	Jun-20	MCCS		
Develop Acceptable Internet Use Policy	Jun-20	MCCS		
Residual Risk Rating				

Misconduct			Risk	Control
			Low	Adequate
Intentional activities intended to circumvent the Code of Conduct or activities in excess of authority, which circumvent endorsed policies, procedures or delegated authority.				
Actions	Due Date	Responsibility		
Review and Document Organisations Controls & Systems	Dec-20	CEO / MCCS		
Centralise Checklists, Controls and Procedures	Dec-20	CEO / MCCS		
Review Fuel Stick Control and Process	Mar-20	MCCS / MWA		
Present Regulation 17 Review to Audit & Risk Committee	Dec-19	CEO / MCCS		
Review Purchasing Policy & Procurement Process	May-20	MCCS		
Review Socla Media Policy	Mar-20	EGO		
Review Code of Conduct	Jun-20	CEO / EGO		
Conduct Drivers License Checks	Completed	MCCS / MWA		
Residual Risk Rating				

Project / Change Management			Risk	Control
			Low	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-20	MCCS		
Develop Communication and Engagement Framework	Jun-20	CEO / CDO		
#REF!	#REF!			
Residual Risk Rating				

Safety and Security Practices			Risk	Control
			Low	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	Jun-20	MWA / TWC		
Complete Staff Training Register	Jun-20	SMT		
Conduct Quarterly Workplace Inspections	May-20	MWA / TWC		
Finalise Safe Work Method Statements (SWMS) Library	Dec-20	MWA / TWC		
Assess Shire Building and Facility Safety and Security	Dec-20	MWA / TWC		
Develop Isolated Worker Management Protocol	Dec-20	MWA / TWC		
Re-Establish OSH Committee	May-20	MWA / TWC		
Develop Emergency in Facilities Management Plan	Jun-21	CEO		
Review Contractor Inductions and Register	Jun-20	MWA / TWC		
Residual Risk Rating				

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	May-20	CEO / MCCS		
Develop Standardised Contracts	Ongoing	MCCS		
Document Financial Controls	Ongoing	MCCS		
Develop Appropriate Financial Reporting Tools	Ongoing	CEO / MCCS		
Develop Centralised Contract Management System	Ongoing	SMT		
Residual Risk Rating				

**Measures of Consequence (V.2 - May 2019 - DRAFT FOR COUNCIL CONSIDERATION)**

RATING	PEOPLE	INTERRUPTION TO SERVICE	REPUTATION	COMPLIANCE	PROPERTY	NATURAL ENVIRONMENT	FINANCIAL IMPACT	PROJECT	
			(Social / Community)		(Plant, Equip, Buildings)			Time	Budget
Insignificant (1)	Near-Miss	No material service interruption Less than 1 hour	Unsubstantiated, localised low impact on community trust, low profile or no media item.	No noticeable regulatory or statutory impact	Inconsequential damage.	Contained, reversible impact managed by on site response	Less than \$5,000	Exceeds deadline by 5% of project timeline	Exceeds project budget by 5%
Minor (2)	First Aid Treatment	Short term temporary interruption – backlog cleared < 1 day	Substantiated, localised impact on community trust or low media item	Some temporary non-compliances	Localised damage rectified by routine internal procedures	Contained, reversible impact managed by internal response	\$5,001 - \$50,000	Exceeds deadline by 10% of project timeline	Exceeds project budget by 10%
Moderate (3)	Medical treatment / Lost time injury <30 Days	Medium term temporary interruption – backlog cleared by additional resources < 1 Week	Substantiated, public embarrassment, moderate high impact on community trust or moderate media profile	Short term non-compliance but with significant regulatory requirements imposed	Localised damage requiring external resources to rectify	Contained, reversible impact managed by external agencies	\$50,001 - \$200,000	Exceeds deadline by 15% of project timeline	Exceeds project budget by 15%
Major (4)	Lost time injury >30 Days / temporary disability	Prolonged interruption of services – additional resources; performance affected <1 Month	Substantiated, public embarrassment, widespread high impact on community trust, high media profile, third party actions	Non-compliance results in termination of services or imposed penalties to Shire / Officers	Significant damage requiring internal & external resources to rectify	Uncontained, reversible impact managed by a coordinated response from external agencies	\$200,001 - \$500,000	Exceeds deadline by 20% of project timeline	Exceeds project budget by 20%
Extreme (5)	Fatality, permanent disability	Indeterminate prolonged interruption of services non-performance > 1 month	Substantiated, public embarrassment, widespread loss of community trust, high widespread multiple media profile, third party actions	Non-compliance results in litigation, criminal charges or significant damages or penalties to Shire / Officers	Extensive damage requiring prolonged period of restitution. Complete loss of plant, equipment & building	Uncontained, irreversible impact	More than \$500,000	Exceeds deadline by 25% of project timeline	Exceeds project budget by 25%

**Measures of Likelihood**

Rating	Description	Frequency
Almost Certain (5)	The event is expected to occur in most circumstances	More than once per year
Likely (4)	The event will probably occur in most circumstances	At least once per year
Possible (3)	The event should occur at some time	At least once in 3 years
Unlikely (2)	The event could occur at some time	At least once in 10 years
Rare (1)	The event may only occur in exceptional circumstances	Less than once in 15 years

**Risk Matrix**

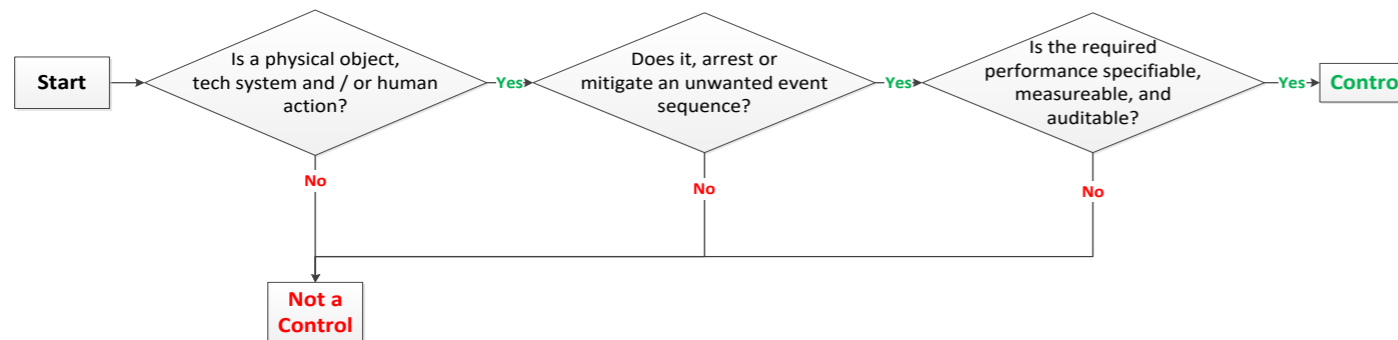
	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	Moderate (5)	High (10)	High (15)	Extreme (20)	Extreme (25)
Likely (4)	Low (4)	Moderate (8)	High (12)	High (16)	Extreme (20)
Possible (3)	Low (3)	Moderate (6)	Moderate (9)	High (12)	High (15)
Unlikely (2)	Low (2)	Low (4)	Moderate (6)	Moderate (8)	High (10)
Rare (1)	Low (1)	Low (2)	Low (3)	Low (4)	Moderate (5)

**Risk Acceptance Criteria**

Risk Rank	Description	Criteria	Responsibility
LOW	Acceptable	Risk acceptable with adequate controls, managed by routine procedures and subject to annual monitoring	Operational Manager
MODERATE	Monitor	Risk acceptable with adequate controls, managed by specific procedures and subject to semi-annual monitoring	Operational Manager
HIGH	Urgent Attention Required	Risk acceptable with excellent controls, managed by senior management / executive and subject to monthly monitoring	DCEO / CEO
EXTREME	Unacceptable	Risk only acceptable with excellent controls and all treatment plans to be explored and implemented where possible, managed by highest level of authority and subject to continuous monitoring	CEO / Council

**Existing Controls Ratings**

Rating	Foreseeable	Description
Effective	There is <u>little</u> scope for improvement.	Processes (Controls) operating as intended and aligned to Policies / Procedures. Subject to ongoing monitoring. Reviewed and tested regularly.
Adequate	There is <u>some</u> scope for improvement.	Processes (Controls) generally operating as intended, however inadequacies exist. Nil or limited monitoring. Reviewed and tested, but not regularly.
Inadequate	There is a <u>need</u> for improvement or action.	Processes (Controls) not operating as intended. Processes (Controls) do not exist, or are not being complied with. Have not been reviewed or tested for some time.



# Asset Management Practices

Mar-20

## 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 formal or appropriate scheduling (maintenance /
Outdated equipment	Unexpected breakdowns
Insufficient budget to maintain or replace assets	

Key Controls	Type	Last Reviewed	Rating
Roads Maintenance Program	Preventative	Jun-19	<b>Adequate</b>
Road Asset Management Program (RAMM)	Preventative	Jun-19	<b>Adequate</b>
Fleet and Plant Maintenance Program	Preventative	Jun-19	<b>Adequate</b>
Building Maintenance Program	Preventative	Jun-19	<b>Adequate</b>
Recreation Facilities Maintenance Program	Preventative		<b>Not Rated</b>
Asset Management Plan	Preventative	Jun-18	<b>Inadequate</b>
Plant Replacement Program	Preventative	Jun-19	<b>Adequate</b>
Sewerage Maintenance Program	Preventative	Oct-19	<b>Adequate</b>
Stock Control Systems (Fuel)	Preventative	Jun-19	<b>Inadequate</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Revaluation of Road Assets	Completed	MWA
Update RAMM with Revaluation Data	Completed	MWA
Link Building Maintenance Schedule to AMP	Dec-20	MWA / MCCA
Review Asset Management Plan	Dec-20	SMT
Develop Inspection Schedule for Asset Classes	Completed	MWA / TWC
Review LTFP and Link to AMP	Feb-21	MCCA / MWA / CEO
Review Fuel Stock Control System	May-20	MWA / MCCA

## Residual Risk Rating

Consequence Category	Risk Ratings	Rating
Financial	<b>Consequence:</b>	Moderate (3)
	<b>Likelihood:</b>	Possible (3)
	<b>Overall Risk Ratings:</b>	<b>Moderate</b>

Indicators	Type	Target
Asset Renewal Funding Ratio	Lagging	Between 95% and 105%
Asset Consumption Ratio	Lagging	Between 60% and 75%
Asset Sustainability Ratio	Lagging	Between 90% and 110%
Loss of Time Due to Resource Factors	Lagging	No Target Identified
Accidents and / or Damage to Property	Lagging	No Target Identified

## Comments

Reviewed by Management Team - March 2020

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

# Business & Community Disruption

Mar-20

## 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".*

## 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	<b>Adequate</b>
Business Continuity Plan	Preventative	In Draft	<b>Adequate</b>
Bushfire Risk Management Framework	Preventative	Jun-19	<b>Effective</b>
Facility Risk Management Plan - to be developed	Preventative		<b>Not Rated</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Annual LEM Exercise Undertaken	Apr-20	CEO
Finalise Draft Business Continuity Plan	Apr-20	CEO
Business Continuity Plan Drill to be Undertaken Annually	Jul-20	CEO / MCCS
Develop IT Disaster Recovery Plan	Dec-20	MCCS
Fire Breaks Inspected and Enforced Annually	Completed	MCCS
Fire Fighting Equipment Maintained and Serviced	Completed	MWA
Wardens (Internal) - Training of New Wardens	Jun-20	SMT
Admin Generator Maintained and Serviced	Completed	MWA
Develop Facility Risk Management Plan	Dec-21	CEO / MCCS

## Residual Risk Rating

Consequence Category	Risk Ratings	Rating
Service Interruption / Reputation	<b>Consequence:</b>	Moderate (3)
	<b>Likelihood:</b>	Possible (3)
	<b>Overall Risk Ratings:</b>	<b>Moderate</b>

Indicators	Type	Target
Missed LEMC Committee Meetings	Leading	Nil meetings missed
Number of Firebreak Infringements Issued	Lagging	Less than 5 per annum
LEM Annual Exerise Undertaken	Leading	1 per annum
BCP Annual Exerise Undertaken	Leading	1 per annum

## Comments

Reviewed by Management Team - March 2020  
 Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies

# Failure to fulfil Compliance Requirements and Regulatory) (Statutory Mar-20

**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).*

**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	<b>Adequate</b>
Information Management System	Preventative	Unknown	<b>Adequate</b>
Human Resource Management Framework	Preventative	Mar-19	<b>Adequate</b>
Advised Monitoring (WALGA Subscriptions, Gazettes)	Preventative	May-19	<b>Adequate</b>
Governance Calendar	Preventative	Ongoing	<b>Adequate</b>
Council & Staff Inductions	Preventative	Nov-19	<b>Adequate</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Document Governance Framework	Jun-20	CEO / EGO
Continue Implementation of Training Program for Councillors and Staff	Ongoing	SMT / EGO
Review Councillor Induction Manual	Completed	EGO
Review Human Resource Management System	Ongoing	CEO / M CCS
Review Information Management System	Dec-20	M CCS

**Residual Risk Rating**

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

Indicators	Type	Target
Financial and Performance Audit Qualifications	Lagging	Qualified Audit
Compliance Audit Return	Lagging	Completed As Per Statutory Requirements
Financial Management System Review (every 3 years)	Lagging	Completed As Per Statutory Requirements
CEO Regulation 17 Review	Lagging	Completed As Per Statutory Requirements

**Comments**

Reviewed by Management Team - March 2020

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

# Document Management Processes

Mar-20

## 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		<b>Adequate</b>
Governance Management Framework	Preventative		<b>Adequate</b>
Recordkeeping Plan	Preventative	Mar-19	<b>Adequate</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Investigate Upgrades Required to Archive Room to Improve Compliance With SRO	Jun-20	MCCS
Document Information Management Framework	Jun-20	CSRO
Information Management Staff Training	Ongoing	MCCS
Review Record Keeping Plan	Jun-21	MCCS

## Residual Risk Rating

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

Indicators	Type	Target
Information Management Framework	Leading	Developed and Implemented
Archive Room Compliance	Leading	Investigated and Costed
Archives	Leading	Recorded & Destroyed (as appropriate)
Record Keeping Plan Completed	Leading	Commence Review July 2020

## Comments

Reviewed by Management Team - March 2020

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

# Employment Practices

Mar-20

## 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.

## 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	<b>Effective</b>
Human Resource Management Framework	Preventative	May-19	<b>Adequate</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Develop a Health and Wellbeing Program	Jun-20	SMT
Implement Strategies Identified in the Workforce Plan	Ongoing	SMT
Document Human Resource Management Framework	Jun-20	SMT
Training Needs Analysis and Training Register	May-20	CEO / CSRO
Review Staff Induction Process	Completed	MCCS
Conduct Drivers License Checks	Completed	MCCS
Conduct Annual Performance Reviews	Apr-20	SMT

## Residual Risk Rating

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

Indicators	Type	Target
Training Program (% Completed)	Leading	90% Per Annum
Absenteeism (% of Personal and Unpaid Leave)	Lagging	Target Not Identified
Employee Turnover (% Turnover Rate)	Lagging	Equal to or Below Industry Standard
Performance Reviews (% Completed)	Leading	100% Per Annum
Workers Compensation Claims	Lagging	Target Not Identified

## Comments

Reviewed by Management Team - March 2020

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



# Engagement Practices

Mar-20

## 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.*

## 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		<b>Not Rated</b>
Complaint Handling Process	Preventative	Unknown	<b>Adequate</b>
Community Satisfaction Survey	Detective		<b>Not Rated</b>
Customer Service Charter	Preventative	Sep-19	<b>Adequate</b>

**Overall Control Ratings:** **Adequate**

Actions (Treatments)	Due Date	Responsibility
Review and Document Complaints Handling Process	Jun-20	CEO / MCCS
Develop a Community Engagement Policy Framework	Jun-20	SMT / CDO
Conduct Community Satisfaction Survey	Jun-20	CEO / CDO
Develop Process For Customer Response Requests	Jun-20	MCCS
Develop Complaint Register	Jun-20	MCCS

## Residual Risk Rating

Consequence Category	Risk Ratings	Rating
Reputation	<b>Consequence:</b>	<i>Minor (2)</i>
	<b>Likelihood:</b>	<i>Likely (4)</i>
	<b>Overall Risk Ratings:</b>	<b>Moderate</b>

Indicators	Type	Target
Number of Complaints From The Community Not Responded To		Target Not Identified
Community Satisfaction Survey - Overall Scorecard Result		65% Satisfaction
Meeting Requirements of Customer Service Charter		Target Not Identified

## Comments

Reviewed by Management Team - March 2020

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

# Environment Management

Mar-20

## 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.

## 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 Policy	Preventative		<b>Adequate</b>
Sewerage Management Plan	Preventative	Oct-18	<b>Not Rated</b>
Waste Water Management Program	Preventative		<b>Adequate</b>
Contaminated Sites Register	Preventative	Nov-19	<b>Adequate</b>
Waste Management Plan	Preventative	Dec-20	<b>Not Rated</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

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

## Residual Risk Rating

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

Indicators	Type	Target
Compliant Waste Return	Lagging	100%
Satisfactory Water Sampling For Water Re-Use	Lagging	100%

## Comments

Reviewed by Management Team - March 2020

# Errors, Omissions & Delays

Mar-20

## 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".*

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

**Overall Control Ratings:** **Adequate**

## Actions (Treatments)

	Due Date	Responsibility
Review Code of Conduct	Jun-20	CEO / EGO

Review and Document Organisations Controls and Systems	Ongoing	CEO / MCCS
Centralise Checklists, Controls and Procedures	Dec-20	CEO / MCCS
Review Customer Service Request Process to include Snap Send Solve	Apr-20	MCCS
<b>Residual Risk Rating</b>		
<b>Consequence Category</b>	<b>Risk Ratings</b>	<b>Rating</b>
Reputation / Compliance	<b>Consequence:</b>	Moderate (3)
	<b>Likelihood:</b>	Likely (4)
	<b>Overall Risk Ratings:</b>	<b>Low</b>
<b>Indicators</b>	<b>Type</b>	<b>Target</b>
Legal Claims	Lagging	0
Number of Complaints Regarding Errors, Omissions or Delays	Lagging	0
Referral to SAT/Ombudsman/Public Sector Commission	Lagging	0
Number of Complaints to Local Government Standards Panel	Lagging	0
External Audit Qualification	Lagging	95%
Staff Training Target Met	Leading	90%
<b>Comments</b>		
Reviewed by Management Team - March 2020		
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.		

# External Theft & Fraud (Including Cyber)

Mar-20

## 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	<b>Adequate</b>
Equipment Storage and Access Controls	Preventative	Unknown	<b>Adequate</b>
IT Security Framework (Passwords and Security Protocols)	Preventative	Sep-19	<b>Adequate</b>
Information Management System	Preventative	Unknown	<b>Adequate</b>
Financial Management System	Preventative	Sep-19	<b>Adequate</b>

**Overall Control Ratings: Adequate**

Actions (Treatments)	Due Date	Responsibility
Review Access Controls to Include Key Register	Jun-20	SMT
Photographic Record of Assets	Jun-20	MWA / TWC
Implement Quarterly Schedule For Changing Passwords	Ongoing	MCCS
Review Security and Storage of Records	Dec-21	MCCS
Document Financial Management System	Ongoing	MCCS

## Residual Risk Rating

Consequence Category	Risk Ratings	Rating
Financial / Property	<b>Consequence:</b>	Minor (2)
	<b>Likelihood:</b>	Possible (3)
	<b>Overall Risk Ratings:</b>	<b>Low</b>

Indicators	Type	Target
Number of Cyber Breaches	Lagging	0
Number of Incidents of Theft or Fraud	Leading	0
Passwords Changed Quarterly	Leading	100% Changed
Tracking of Building and Facility Access	Leading	No Target Identified

## Comments

Reviewed by Management Team - March 2020

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

# Management of Facilities / Venues / Events

Mar-20

## 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	Jun-20	Not Rated

**Overall Control Ratings:** Adequate

Actions (Treatments)	Due Date	Responsibility
Develop Event Mangement Framework	Jun-20	CDO
Develop Recreational Reserves Management System	Dec-20	MCCS / MWA
Create Inspection and Maintenance Schedules for Event Equipment	Jun-20	CDO
Undertake Community Facilities Review	Jun-20	CEO / CDO
Public Buildings Inspected for Compliance	Dec-20	MWA

## Residual Risk Rating

Consequence Category	Risk Ratings	Rating
Reputation	Consequence:	Minor (2)
	Likelihood:	Unlikely (2)
	<b>Overall Risk Ratings:</b>	<b>Low</b>

Indicators	Type	Target
Number of Injuries / Incidents at Events	Leading	0
Number of Injuries / Incidents at Facilities	Leading	0
Customer Satisfaction Survey - Events & Facilities	Lagging	65% Satisfaction
Compliance of Events and Facilities	Leading	90%

## Comments

Reviewed by Management Team - March 2020

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

# IT or Communication Systems and Infrastructure

Mar-20

## 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		<b>Adequate</b>
IT Management Service Level Agreement	Detective	Early 2018	<b>Adequate</b>
IT Managed Service Agreement Monthly Report	Detective	Monthly	<b>Adequate</b>
IT Disaster Recovery Plan	Recovery		<b>Not Rated</b>

**Overall Control Ratings:** **Adequate**

Actions	Due Date	Responsibility
Develop IT Disaster Recovery Plan	Dec-20	MCCS
Review IT Management Service Level Agreement	Jun-20	MCCS
Document IT Infrastructure Replacement Program	Dec-20	MCCS
Install Advanced Email Protection	Jul-20	MCCS
Develop Secure Password Policy	Jun-20	MCCS
Develop Acceptable Internet Use Policy	Jun-20	MCCS

## Residual Risk Rating

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

Indicators	Type	Target
Number of Cyber Breaches	Lagging	0
IT Replacement Program	Leading	On Target
Number of System Downtime	Lagging	No Target Identified
Management of System Access	Leading	Documented

## Comments

Reviewed by Management Team - March 2020

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

## 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.*

## 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	Jun-19	<b>Adequate</b>
Staff Recruitment Process (includes Police Clearance)	Preventative	Feb-19	<b>Adequate</b>
Staff Inductions	Preventative	Feb-19	<b>Adequate</b>
External Audits	Preventative	Dec-19	<b>Adequate</b>
Annual Drivers Licence Checks	Preventative	Nov-19	<b>Adequate</b>
Social Media Policy	Preventative	Dec-17	<b>Adequate</b>
Segregation of Duties (Financial)	Preventative	Ongoing	<b>Adequate</b>
General Financial Transactions Policy	Preventative	Jun-18	<b>Adequate</b>
Delegation Control - Synergy	Preventative	Ongoing	<b>Adequate</b>
Financial Interests Returns Declarations	Preventative	Ongoing	<b>Adequate</b>
Primary and Annual Returns Process	Preventative	Ongoing	<b>Adequate</b>
Procurement Delegation Control - Synergy	Preventative	Ongoing	<b>Adequate</b>
Cash Handling Policy and Procedures	Preventative	Feb-19	<b>Adequate</b>
Corporate Credit Card Policy	Preventative	May-19	<b>Adequate</b>
Delegated Authority for Procurement	Preventative	Nov-19	<b>Adequate</b>
Elected Member Training Plan	Preventative	Ongoing	<b>Adequate</b>
Audit & Risk Committee	Preventative	Nov-19	<b>Adequate</b>
IT Security Access Register (Profiles & Passwords)	Preventative	Monthly	<b>Adequate</b>
Purchasing Policy & Procurement Process	Preventative	Jun-18	<b>Adequate</b>
Tender Procurement Process	Preventative	Unknown	<b>Adequate</b>
Financial Management Systems Review	Preventative	Sep-19	<b>Adequate</b>
Regulation 17 Review	Preventative	Dec-19	<b>Adequate</b>



Code of Conduct	Preventative	Apr-17	<b>Adequate</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>
<b>Actions (Treatments)</b>		<b>Due Date</b>	<b>Responsibility</b>
Review and Document Organisations Controls and Systems		Dec-20	CEO / MCCS
Centralise Checklists, Controls and Procedures		Dec-20	CEO / MCCS
Review Fuel Stock Control and Process		May-20	MCCS / MWA
Present Regulation 17 Review to Audit & Risk Committee		Completed	CEO
Review Purchasing Policy & Procurement Process		May-20	MCCS
Review Social Media Policy - Adopted December 2017		Mar-20	EGO
Review Code of Conduct		Jun-20	CEO / EGO
Conduct Drivers Licence Check		Completed	MCCS/MWA
<b>Residual Risk Rating</b>			
<b>Consequence Category</b>	<b>Risk Ratings</b>		<b>Rating</b>
Reputation / Finance	<b>Consequence:</b>		<i>Major (4)</i>
	<b>Likelihood:</b>		<i>Possible (3)</i>
	<b>Overall Risk Ratings:</b>		<b>Low</b>
<b>Indicators</b>	<b>Type</b>	<b>Target</b>	
Audit Notifications	Lagging	0	
Disregarding or Manipulating Procurement Process	Leading	0	
Breaches of Code of Conduct	Lagging	0	
Internal & External Complaints	Lagging	0	
Adherence to Internal Controls	Leading	0	
<b>Comments</b>			
Reviewed by Management Team - March 2020			
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.			

# Project / Change Management

Mar-20

## 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		<b>Not Rated</b>
Communication and Engagement Framework	Preventative		<b>Not Rated</b>
Risk Management Framework	Detective	Oct-19	<b>Adequate</b>
Financial Management Framework	Preventative	Mar-17	<b>Adequate</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Develop Project Management Methodology and Framework	Dec-20	MCCS
Develop Communication and Engagement Framework	Jun-20	CEO / CDO

## Residual Risk Rating

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

Indicators	Type	Target
Minimisation of Project Variations	Lagging	90%
Achievement of Project Deadlines / Milestones	Leading	90%

## Comments

Reviewed by Management Team - March 2020

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

# Safety and Security Practices

Mar-20

## 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.

## 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		Adequate
Governance Management Framework	Preventative		Adequate
Facility Risk Management Plan	Preventative		Not Rated
<b>Overall Control Ratings:</b>			<b>Adequate</b>

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

## Residual Risk Rating

Consequence Category	Risk Ratings	Rating
Health	<b>Consequence:</b>	Moderate (3)
	<b>Likelihood:</b>	Possible (3)
	<b>Overall Risk Ratings:</b>	<b>Low</b>

Indicators	Type	Target
Reporting of Safety Breaches	Leading	100%
Failed Safety Inspections	Leading	Target Not Identified
Lost Time Injuries Per Quarter	Lagging	Target Not Identified
Near Misses Per Quarter	Leading	Target Not Identified
Workers Compensation Claims Per Quarter	Leading	Target Not Identified
Safety Audit Result % (Every Three Years)	Leading	Target Not Identified
Reporting and Management of Incidents	Leading	Target Not Identified

## Comments

Reviewed by Management Team - March 2020

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

# Supplier / Contract Management

Mar-20

## 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:

- 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-19	<b>Adequate</b>
Financial Management Framework	Preventative	Mar-17	<b>Adequate</b>
Access to independent Advice (WALGALawyers) & Fee Review	Preventative	Sep-19	<b>Adequate</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Review Purchasing Policy	May-20	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

## Residual Risk Rating

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

Indicators	Type	Target
Contracts Reviewed And Maintained	Leading	90%
Number of Expired Contracts Not Yet Renewed	Lagging	90%

## Comments

Reviewed by Management Team - March 2020

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