



Shire of Northam
Heritage, Commerce and Lifestyle

Shire of Northam

Agenda

Audit & Risk Management Committee

23 November 2023

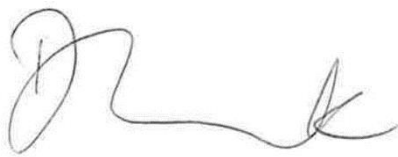


NOTICE PAPER
Audit & Risk Management Committee
23 November 2023

Committee Members

I inform you that a Audit & Risk Management Committee will be held in the Council Chambers, located at 395 Fitzgerald Street, Northam on 23 November 2023 at 5:00 pm.

Yours faithfully



Debbie Terelinck
Chief Executive Officer

DISCLAIMER

This committee has been delegated authority by Council to receive and assess grant applications; and make a final determination on all grant applications received as part of the Community Grants Scheme.

This agenda has yet to be dealt with by the committee. The Recommendations shown at the foot of each item have yet to be considered by the committee and are not to be interpreted as being the position of the committee. The minutes of the meeting held to discuss this agenda should be read to ascertain the decision of the Council.

In certain circumstances members of the public are not entitled to inspect material, which in the opinion of the Chief Executive Officer is confidential, and relates to a meeting or a part of a meeting that is likely to be closed to members of the public.

No responsibility whatsoever is implied or accepted by the Shire of Northam for any act, omission, statement or intimation occurring during Council or Committee meetings.

The Shire of Northam disclaims any liability for any loss whatsoever and howsoever caused arising out of reliance by any person or legal entity on any such act, omission or statement of intimation occurring during Council or Committee meetings.

Any person or legal entity who acts or fails to act in reliance upon any statement, act or omission made in a Council or Committee meeting does so at that person's or legal entity's own risk.

In particular and without derogating in any way from the broad disclaimer above, in any discussion regarding any planning application or application for a licence, any statement or intimation of approval made by any member or Officer of the Shire of Northam during the course of any meeting is not intended to be and is not taken as notice of approval from the Shire of Northam.

The Shire of Northam advises that anyone who has any application lodged with the Shire of Northam must obtain and should only rely on WRITTEN CONFIRMATION of the outcome of the application and any conditions attaching to the decision made by the Shire of Northam in respect of the application.

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1 DECLARATION OF OPENING

2 ELECTION OF PRESIDING MEMBER & DEPUTY PRESIDING MEMBER

In accordance with section 5.12 of the Local Government Act 1995, the members of a committee are to elect a presiding member from amongst themselves in accordance with Schedule 2.3, Division 1.

In accordance with recent changes to the Local Government Act 1995, if there is more than one nomination, the election of Committee Presiding Member will be conducted by secret Ballot and determined using an optional preference voting system, if required.

The members of a committee may elect a deputy presiding member from amongst themselves, but any such election is to be in accordance with Schedule 2.3, Division 2. This does not require the use of optional preferential voting.

Should the presiding member not be available or is unable or unwilling to perform the functions of presiding member, then the deputy presiding member may perform the functions of presiding member

3 ACKNOWLEDGEMENT OF COUNTRY

The Shire of Northam would like to acknowledge the Traditional Owners of the land on which we meet, the Ballardong and Whadjuk people of the Nyoongar nation and pay our respects to Elders, past present and emerging.

4 ATTENDANCE

4.1 ATTENDEES

Council:

Deputy President
Councillors

A J Mencshelyi
H J Appleton
M I Girak

Staff:

Chief Executive Officer
Executive Manager Corporate Services
Governance Coordinator
Governance Officer

D Terelinck
C J Young
B J Hadlow
T P Van Beek

Observer:

Shire President

C R Antonio

4.2 APOLOGIES

Nil.

4.3 APPROVED LEAVE OF ABSENCE

Cr M P Ryan has been granted leave of absence from 07 November 2023 to 07 December 2023 (inclusive).

4.4 ABSENT

Nil.

5 DISCLOSURE OF INTERESTS

Members should fill in Disclosure of Interest forms for items in which they have a financial, proximity or impartiality interest and forward these to the Presiding Member before the meeting commences.

*As defined in section 5.60A of the Local Government Act 1995, a **financial interest** occurs where a Councillor / Committee Member, or a person with whom the Councillor / Committee Member is closely associated, has a direct or indirect financial interest in the matter. That is, the person stands to make a financial gain or loss from the decision, either now or at some time in the future.*

*As defined in section 5.61 of the Local Government Act 1995, an **indirect financial interest** includes a reference to a financial relationship between that person and another person who requires a Local Government decision in relation to the matter.*

*As defined in section 5.60B of the Local Government Act 1995, a person has a **proximity interest** in a matter if the matter concerns a proposed change to a planning scheme affecting land that adjoins the person's land; or a proposed change to the zoning or use of land that adjoins the person's land; or a proposed development (as defined in section 5.63(5)) of land that adjoins the person's land.*

*As defined in clause 22 of the Local Government (Model Code of Conduct) Regulations 2021, an **impartiality interest** means an interest that could, or could reasonably be perceived to, adversely affect the impartiality of the person having the interest and includes an interest arising from kinship, friendship or membership of an association.*

Item Name	Item No.	Name	Type of Interest	Nature of Interest

6 CONFIRMATION OF MINUTES

6.1 CONFIRMATION OF MINUTES FROM THE AUDIT AND RISK MANAGEMENT COMMITTEE MEETING HELD 22 AUGUST 2023

RECOMMENDATION

That the minutes of the Audit and Risk Management Committee Meeting held on 22 August 2023 be confirmed as a true and correct record of that meeting.

7 COMMITTEE REPORTS

7.1 Audit & Risk Management Committee Terms of Reference - Independent Committee Members

File Reference:	2.1.3.5
Reporting Officer:	Britt Hadlow (Governance Coordinator)
Responsible Officer:	Debbie Terelinck (Chief Executive Officer)
Officer Declaration of Interest:	Nil
Voting Requirement:	Simple Majority
Press release to be issued:	No

BRIEF

At the Special Council Meeting on 25 October 2023, Council requested selection criteria be developed to allow a suitably qualified independent committee member to be appointed to the Audit & Risk Management Committee. As such the Terms of Reference have been amended to include the criteria for consideration. A further addition to the Terms of Reference is the inclusion of the Shire President position being an as of right position on the Committee.

This report also provides information on appropriate sitting fees to be paid to the Independent Member according to Salaries & Allowances Tribunal

determinations and relevant *Local Government Act 1995* reform information on the payment of sitting fees to independent members.

ATTACHMENTS

1. C S- T R-01 Audit & Risk Management Committee Terms of Reference 2023 - 2025 V 2 - With Mark Up [7.1.1 - 5 pages]
2. C S- T R-01 Audit & Risk Management Committee Terms of Reference 2023 - 2025 V 2 - Without Mark Up [7.1.2 - 5 pages]
3. Salaries & Allowances Tribunal - Independent Committee Member Sitting Fee Determination [7.1.3 - 2 pages]

A. BACKGROUND / DETAILS

The role of the Audit & Risk Management Committee is to support Council in fulfilling its governance and oversight responsibilities in relation to financial reporting, internal control structure, risk management systems, internal and external audit functions and ethical accountability.

The *Local Government Act 1995* requires that an audit committee is to:

- At least consist of a minimum of 3 members and in that situation, all must be Council Members.
- Where a committee consists of more than 3 members then a majority of those members must be Council Members.
- Local governments may decide to appoint a committee involving only Council Members or they may appoint one or more persons who are external to the council.
- If a council considers it appropriate, the whole council can be appointed to the audit committee.
- If the local government wishes to appoint one or more persons other than Council Members to the committee, which is recommended, it should ensure that they have the requisite knowledge and skills to provide benefit to the committee.

At the Special Council Meeting held on 25 October 2023, Council resolved to include an independent committee member on the Audit & Risk Management Committee and requested further information on the process and statutory requirements related to the appointment of an independent committee member. This information has been included as an amendment to the Terms of Reference to allow for such a member to be on the committee, with voting rights.

It is also considered appropriate to amend the Terms of Reference for the Audit and Risk Management Committee to enable the Shire President to have a position on the committee given the nature of the role and the involvement of

the Shire President in approving the financial statements for the Shire. If supported, this will increase the number of Council Members on the Committee to 5.

B. CONSIDERATIONS

B.1 Strategic Community / Corporate Business Plan

Performance Area: Performance. Outcome 12: Excellence in organisational performance and customer service.

Objective 12.1: Maintain a high standard of corporate governance and financial management.

Priority Action: Nil.

B.2 Financial / Resource Implications

The *Local Government Amendment Bill 2023*, which was passed in May 2023, included an amendment to clause 5.100 of the *Local Government Act 1995*. This will include new provisions for paying fees and reimbursing expenses of independent committee members sitting on committees of Council. Current legislation does not allow for the paying of sitting fees to an independent committee member on a committee of Council.

On 28 November 2023, WALGA provided advice that the Salaries and Allowances Tribunal had made a determination on prescribed sitting fees for independent committee members. WALGA also advised the changes to clause 5.100 are expected to be enacted in early 2024. It is expected the DLGSC will advise on the commencement of the provision at such a time.

The Salary and Allowance Tribunal determination can be found in Attachment 6.1.3, with the extract of the table of fees shown below. The Shire of Northam is a Class 2 local government.

Table 6: Committee meeting and prescribed meeting fees per meeting – local governments and regional local governments

Band	Elected members		Independent committee members	
	Minimum	Maximum	Minimum	Maximum
1	\$325	\$415	\$0	\$415
2	\$195	\$305	\$0	\$305
3	\$100	\$215	\$0	\$215
4	\$50	\$125	\$0	\$125
All regional local governments	\$50	\$125	\$0	\$125

B.3 Legislative Compliance

Local Government Act 1995 s.5.100 (Current legislation)

5.100. Payments for certain committee members

- (1) A person who is a committee member but who is not a council member, or an employee is not to be paid a fee for attending any committee meeting.

Local Government Amendment Bill 2023 s.80 (Expected to be enacted early 2024)

Section 5.100 replaced

Delete section 5.100 and insert:

5.100. Fees paid and expenses reimbursed to committee members

- (1) A committee member who attends a meeting of the committee is entitled to be paid —
- (a) the fee determined for attending a committee meeting; or
 - (b) if the local government has set a fee within the range determined for committee meeting attendance fees — that fee.
- (2) A committee member who attends a meeting of a prescribed type at the request of the council is entitled to be paid —
- (a) the fee determined for attending a meeting of that type; or
 - (b) if the local government has set a fee within the range determined for meetings of that type — that fee.

B.4 Policy Implications

Audit & Risk Management Committee Terms of Reference.

B.5 Stakeholder Engagement / Consultation

As per the Audit & Risk Management Committee Terms of Reference, the CEO will publicly advertise an expression of interest for a suitably qualified External Independent Member once the amended Regulation has been amended.

It is proposed that relevant local businesses and the Chamber of Commerce will be amongst those that will be informed of the expression of interest.

The CEO will assess any applications received and make a recommendation to the Audit & Risk Management Committee for consideration.

B.6 Risk Implications

Refer to Risk Matrix [here](#).

Risk Category	Description	Rating (likelihood x consequence)	Mitigation Action
Financial	Unbudgeted sitting fees required to be paid once relevant legislation is enacted if an External Independent Person is appointed.	Possible (3) x Minor (2) = Moderate (6)	The Audit & Risk Management Committee make a recommendation to Council on fees to be set in accordance with the budget.
Health & Safety	N/A		
Reputation	External Independent Member engages in misconduct.		Include clause in Terms of Reference to allow the Presiding Member to remove an External Independent Member from the committee. Provide the External Independent Person with an

			induction, including a copy of the Code of Conduct for Councillors, Committee Members and Candidates.
Service Interruption	N/A		
Compliance	Non-compliance with the relevant Acts & Regulations.		Appoint the External Independent Person in accordance with the <i>Local Government Act 1995</i> .
Property	N/A		
Environment	N/A		

B.7 Natural Environment Considerations

N/A

C. OFFICER'S COMMENT

The Audit & Risk Management Committee Terms of Reference have been updated to include:

1. Amendments to committee membership:
 - a. Include the Shire President as a committee member, as of right.
 - b. Include the option of including a suitably qualified External Independent Person.
2. Terms of the External Independent Person.
3. Selection Criteria for the External Independent Person.

The committee is being requested to review and make comment on the changes to the Terms of Reference, to allow a recommendation to be made to Council for endorsement.

The information being provided with reference to the Salary and Allowance Tribunal determination and WALGA advice on the new legislation pertaining to clause 5.100 of the Local Government Act being enacted early 2024 is for the committee to note.

Anticipating the new legislation will be enacted before the next Audit & Risk Management Committee Meeting, a report will be tabled at the February 2024

meeting to make a recommendation on the fees to be set and to request the CEO to go out for expression of interest for the position.

It is noted that the new legislation states that the sitting fees are able to be set for all independent members of committees of council. It is proposed that sitting fees will only be considered for the Audit & Risk Management Committee External Independent Member (and not other committees of council) to provide some remuneration for the independent member's level of expertise and advice.

RECOMMENDATION

That the Audit and Risk Committee endorses the following recommendation being presented to Council:

That Council:

- 1. Adopts the updated Audit & Risk Management Committee Terms of Reference as set out in Attachment 6.1.1.**
- 2. Notes that a report with further updates on the *Local Government Act 1995* reforms pertaining to clause 5.100 will be provided to the February 2024 Audit & Risk Management Committee.**

TERMS OF REFERENCE SHIRE OF NORTHAM AUDIT & RISK MANAGEMENT COMMITTEE
--

1. Objectives of Audit & Risk Management Committee

The primary objective of the Audit and Risk Management Committee is to accept responsibility for the annual external audit and liaise with the local government's auditor so that Council can be satisfied with the performance of the local government in managing its financial affairs. The Committee will also oversee critical areas including risk management & internal audit.

Reports from the committee will assist Council in discharging its legislative responsibilities of controlling the local government's affairs, determining the local government's policies and overseeing the allocation of the local government's finances and resources. The committee will ensure openness in the local government's financial reporting and will liaise with the CEO to ensure the effective and efficient management of local government's financial accounting systems and compliance with legislation.

The committee is to facilitate:

- The enhancement of the credibility and objectivity of external & internal financial reporting;
- Compliance with laws and regulations as well as use of best practise guidelines relative to auditing;
 - The coordination of the internal audit
 - Function with the external audit
- Effective oversight of financial and other risks and the protection of Council assets
- The provision of an effective means of communication between the external auditor, the CEO and the Council.

2. Powers of the Audit & Risk Management Committee

The committee is a formally appointed committee of Council and is responsible to that body. The committee does not have executive powers or authority to implement actions in areas over which the CEO has legislative responsibility and does not have any delegated financial responsibility. The committee does not have any management functions and cannot involve itself in management processes or procedures.

The committee is to report to Council and provide appropriate advice and recommendations on matters relevant to its term of reference in order to facilitate informed decision-making by Council in relation to the legislative functions and duties of the local government that have not been delegated to the CEO.

3. Membership

The committee shall consist of: ~~four elected members:~~

- ~~The Shire President~~
- ~~4 Elected Members~~
- ~~1 External Independent Member~~

All members shall have full voting rights.

The CEO and employees are not members of the committee.

The CEO and or their nominee is to attend all meetings to provide advice and guidance to the committee.

The local government shall provide secretarial and administrative support to the committee.

External Independent Members

Expressions of interest for appointment of any External Independent Member shall be publicly advertised by Council.

Appointment of any External Independent Member will be for a maximum of 2 years.

At the end of the term, an independent member is eligible to reapply and be appointed but will be subject to the requirements of the recruitment / expressions of interest process each term expiry.

The evaluation of potential independent members will be administered by the CEO and the appointments will be approved by Council.

Reimbursement of expenses can be made to External Independent Members in accordance with relevant legislation.

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

- The Presiding Member considers that the member is not making a positive contribution to the Committee; or
- The member is found to be in breach of the Shire of Northam Code of Conduct or a serious contravention of the Local Government Act 1995; or
- A member's conduct, action or comments brings the Shire of Northam into disrepute.

Council must give written notice to any External Independent Member that Council proposes to remove them from the committee and must provide the External Independent Member the opportunity to make a deputation at the relevant ~~meeting~~Council Forum or Meeting as applicable.

Selection Criteria for External Independent Member:

- Must have senior business, financial management or requisite knowledge and skills to benefit the committee.
- Exposure to local government, demonstrated knowledge of risk management principles and practices and relevant tertiary qualifications are not essential but will be highly regarded.
- Expressions of Interest will not be considered if applicants are current serving Elected Members of other local governments.

4. Quorum

The quorum at any meeting shall be half plus one of the number of offices. Therefore the number for a Quorum shall be ~~3~~4 voting members.

5. Meetings

The committee shall meet at least four times annually.

Additional meetings shall be convened at the discretion of the presiding person.

Meetings shall not be open to the public pursuant to Section 5.23 of the Local Government Act.

6. Reporting

Reports and recommendations of each committee meeting shall be presented to the next ordinary meeting of the Council.

7. Duties and Responsibilities

The duties and responsibilities of the committee will be -

- a) Provide guidance and assistance to Council as to the carrying out the functions of the local government in relation to audits.
- b) Develop and recommend to Council –
 - A list of those matters to be audited; and
 - The scope to be undertaken.
 - Recommend to Council the person or persons to be appointed for internal audits.

- Present to Council a written agreement for the appointment of the auditor. The agreement is to include –
 - The objectives of the audit;
 - The scope of the audit;
 - A plan of the audit;
 - Details of the remuneration and expenses to be paid to the auditor; and
 - The method to be used by the local government to communicate with, and supply information to, the auditor.
- c) Meet with the auditor once in each year.
- d) Liaise with the CEO to ensure that the local government does everything in its power to –
 - Assist the auditor to conduct the audit and carry out his or her other duties under the *Local Government Act 1995*; and
 - Ensure that audits are conducted successfully and expeditiously.
- e) Examine the reports of the auditor after receiving a report from the CEO on the matters and –
 - Determine if any matters raised require action to be taken by the local government; and
 - Ensure that appropriate action is taken in respect of those matters.
- f) Review the report prepared by the CEO on any actions taken in respect of any matters raised in the report of the auditor and presenting the report to Council for adoption prior to the end of the next financial year or 6 months after the last report prepared by the auditor is received, whichever is the latest in time.
- g) Review the scope of the audit plan and program and its effectiveness.
- h) Address issues brought to the attention of the committee that are within the parameters of the committee's terms of reference.
- i) Seek information or obtain expert advice through the CEO on matters of concern within the scope of the committee's terms of reference following authorisation from the Council.
- j) Review the appropriateness of special internal audit assignments undertaken by internal audit at the request of Council or CEO

- k) Review reports of internal audits, monitor the implementation of recommendations made by the audit and review the extent to which Council and management reacts to matters raised;
- l) Facilitate liaison between the internal and external auditor to promote compatibility, to the extent appropriate, between their audit programs
- m) Review the local government's draft annual financial report, focusing on –
 - Accounting policies and practices;
 - Changes to accounting policies and practices;
 - The process used in making significant accounting estimates;
 - Significant adjustments to the financial report (if any) arising from the audit process;
 - Compliance with accounting standards and other reporting requirements; and
 - Significant variances from prior years;
- n) Consider and recommend adoption of the annual financial report to Council. Review any significant changes that may arise subsequent to any such recommendation but before the annual financial report is signed;
- o) Address issues brought to the attention of the committee, including responding to requests from Council for advice that are within the parameters of the committee's terms of reference;
- p) Seek information or obtain expert advice through the CEO on matters of concern within the scope of the committee's terms of reference following authorisation from the Council;
- q) Oversee the effective management of risk within the Shire of Northam, including review of risk management policies & procedures, reviewing outstanding risk mitigation actions and periodically reviewing the Shire of Northam risk register.
- r) Review the annual Compliance Audit Return and report to the council the results of that review, and
- s) Consider the CEO's biennial reviews of the appropriateness and effectiveness of the local government's systems and procedures in regard to risk management, internal control and legislative compliance, required to be provided to the committee, and report to the council the results of those reviews.

TERMS OF REFERENCE SHIRE OF NORTHAM AUDIT & RISK MANAGEMENT COMMITTEE
--

1. Objectives of Audit & Risk Management Committee

The primary objective of the Audit and Risk Management Committee is to accept responsibility for the annual external audit and liaise with the local government's auditor so that Council can be satisfied with the performance of the local government in managing its financial affairs. The Committee will also oversee critical areas including risk management & internal audit.

Reports from the committee will assist Council in discharging its legislative responsibilities of controlling the local government's affairs, determining the local government's policies and overseeing the allocation of the local government's finances and resources. The committee will ensure openness in the local government's financial reporting and will liaise with the CEO to ensure the effective and efficient management of local government's financial accounting systems and compliance with legislation.

The committee is to facilitate:

- The enhancement of the credibility and objectivity of external & internal financial reporting;
- Compliance with laws and regulations as well as use of best practise guidelines relative to auditing;
 - The coordination of the internal audit
 - Function with the external audit
- Effective oversight of financial and other risks and the protection of Council assets
- The provision of an effective means of communication between the external auditor, the CEO and the Council.

2. Powers of the Audit & Risk Management Committee

The committee is a formally appointed committee of Council and is responsible to that body. The committee does not have executive powers or authority to implement actions in areas over which the CEO has legislative responsibility and does not have any delegated financial responsibility. The committee does not have any management functions and cannot involve itself in management processes or procedures.

The committee is to report to Council and provide appropriate advice and recommendations on matters relevant to its term of reference in order to facilitate informed decision-making by Council in relation to the legislative functions and duties of the local government that have not been delegated to the CEO.

3. Membership

The committee shall consist of:

- Shire President
- 4 Elected Members
- 1 External Independent Member

All members shall have full voting rights.

The CEO and employees are not members of the committee.

The CEO and or their nominee is to attend all meetings to provide advice and guidance to the committee.

The local government shall provide secretarial and administrative support to the committee.

External Independent Member

Expressions of interest for appointment of any External Independent Member shall be publicly advertised.

Appointment of any External Independent Member will be for a maximum of 2 years.

At the end of the term, an independent member is eligible to reapply and be appointed but will be subject to the requirements of the recruitment / expressions of interest process each term expiry.

The evaluation of potential independent members will be administered by the CEO and the appointment will be approved by Council.

Reimbursement of expenses can be made to External Independent Members in accordance with relevant legislation.

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

- The Presiding Member considers that the member is not making a positive contribution to the Committee; or
- The member is found to be in breach of the Shire of Northam Code of Conduct or a serious contravention of the *Local Government Act 1995*; or
- A member's conduct, action or comments brings the Shire of Northam into disrepute.

Council must give written notice to any External Independent Member that Council proposes to remove them from the committee and must provide the External Independent Member the opportunity to make a deputation at the relevant meeting as applicable.

Selection Criteria for External Independent Member:

- Must have senior business, financial management or requisite knowledge and skills to benefit the committee.
- Exposure to local government, demonstrated knowledge of risk management principles and practices and relevant tertiary qualifications are not essential but will be highly regarded.
- Expressions of Interest will not be considered if applicants are current serving Elected Members of other local governments.

4. Quorum

The quorum at any meeting shall be half plus one of the number of offices. Therefore the number for a Quorum shall be 4 voting members.

5. Meetings

The committee shall meet at least four times annually.

Additional meetings shall be convened at the discretion of the presiding person.

Meetings shall not be open to the public pursuant to Section 5.23 of the Local Government Act.

6. Reporting

Reports and recommendations of each committee meeting shall be presented to the next ordinary meeting of the Council.

7. Duties and Responsibilities

The duties and responsibilities of the committee will be -

- a) Provide guidance and assistance to Council as to the carrying out the functions of the local government in relation to audits.
- b) Develop and recommend to Council –
 - A list of those matters to be audited; and
 - The scope to be undertaken.
 - Recommend to Council the person or persons to be appointed for internal audits.
 - Present to Council a written agreement for the appointment of the auditor. The agreement is to include –

- The objectives of the audit;
 - The scope of the audit;
 - A plan of the audit;
 - Details of the remuneration and expenses to be paid to the auditor; and
 - The method to be used by the local government to communicate with, and supply information to, the auditor.
- c) Meet with the auditor once in each year.
- d) Liaise with the CEO to ensure that the local government does everything in its power to –
- Assist the auditor to conduct the audit and carry out his or her other duties under the *Local Government Act 1995*; and
 - Ensure that audits are conducted successfully and expeditiously.
- e) Examine the reports of the auditor after receiving a report from the CEO on the matters and –
- Determine if any matters raised require action to be taken by the local government; and
 - Ensure that appropriate action is taken in respect of those matters.
- f) Review the report prepared by the CEO on any actions taken in respect of any matters raised in the report of the auditor and presenting the report to Council for adoption prior to the end of the next financial year or 6 months after the last report prepared by the auditor is received, whichever is the latest in time.
- g) Review the scope of the audit plan and program and its effectiveness.
- h) Address issues brought to the attention of the committee that are within the parameters of the committee's terms of reference.
- i) Seek information or obtain expert advice through the CEO on matters of concern within the scope of the committee's terms of reference following authorisation from the Council.
- j) Review the appropriateness of special internal audit assignments undertaken by internal audit at the request of Council or CEO

- k) Review reports of internal audits, monitor the implementation of recommendations made by the audit and review the extent to which Council and management reacts to matters raised;
- l) Facilitate liaison between the internal and external auditor to promote compatibility, to the extent appropriate, between their audit programs
- m) Review the local government's draft annual financial report, focusing on –
 - Accounting policies and practices;
 - Changes to accounting policies and practices;
 - The process used in making significant accounting estimates;
 - Significant adjustments to the financial report (if any) arising from the audit process;
 - Compliance with accounting standards and other reporting requirements; and
 - Significant variances from prior years;
- n) Consider and recommend adoption of the annual financial report to Council. Review any significant changes that may arise subsequent to any such recommendation but before the annual financial report is signed;
- o) Address issues brought to the attention of the committee, including responding to requests from Council for advice that are within the parameters of the committee's terms of reference;
- p) Seek information or obtain expert advice through the CEO on matters of concern within the scope of the committee's terms of reference following authorisation from the Council;
- q) Oversee the effective management of risk within the Shire of Northam, including review of risk management policies & procedures, reviewing outstanding risk mitigation actions and periodically reviewing the Shire of Northam risk register.
- r) Review the annual Compliance Audit Return and report to the council the results of that review, and
- s) Consider the CEO's biennial reviews of the appropriateness and effectiveness of the local government's systems and procedures in regard to risk management, internal control and legislative compliance, required to be provided to the committee, and report to the council the results of those reviews.

SALARIES AND ALLOWANCES ACT 1975

DETERMINATION VARIATION

PREAMBLE

The *Local Government Amendment Act 2023*, assented to on 18 May 2023, changes the *Local Government Act 1995* to provide for independent committee members to receive meeting fees. An independent committee member is a committee member who is not an elected member or an employee of the local government. The Salaries and Allowances Tribunal has issued a Determination to allow for the payment of meeting fees to independent committee members. Local governments will have the ability to set appropriate fees, within a specified range.

DETERMINATION

The Local Government Chief Executive Officers and Elected Members Determination No. 1 of 2023, issued on 6 April 2023, under sections 7A and 7B(2) of the *Salaries and Allowances Act 1975*, as amended from time to time, are hereby varied by a Determination set out below.

- Under Part 1.4 Terms used, insert the following:
Independent committee member means a person who is a committee member but who is neither a council member nor an employee.
- Under Part 6.1.2, insert the following:
"3. Pursuant to section 5.100(2)(b) and (3)(b) of the LG Act, a committee member who is not an elected member or employee of the local government, who attends a committee meeting or (at the request of the local government or regional local government) a meeting of a type prescribed in regulation 30(3A) of the LG Regulations is entitled to be paid the fee set by the local government or regional local government within the range determined in section 6.3 of this Part for attending committee meetings or, as the case requires, meetings of that type.
- Delete Part 6.3 and insert the following:
6.3 Committee Meeting and Prescribed Meeting Attendance Fees – Per Meeting
(1) The ranges of fees in Table 6 apply where a local government or regional local government decides to pay a council member or independent member a fee referred to in –
 - section 5.98(1)(b) of the LG Act for attendance at a committee meeting; or
 - section 5.98(2A)(b) of the LG Act for attendance at a meeting of a type prescribed in regulation 30(3A) of the LG Regulations.
 - section 5.100(2)(a) of the LG Act for attendance at a committee meeting

- section 5.100(2)(b) of the LG Act for attendance at a meeting of a type prescribed in regulation 30(3A) of the LG Regulations.

Table 6: Committee meeting and prescribed meeting fees per meeting – local governments and regional local governments

Band	Elected members		Independent committee members	
	Minimum	Maximum	Minimum	Maximum
1	\$325	\$415	\$0	\$415
2	\$195	\$305	\$0	\$305
3	\$100	\$215	\$0	\$215
4	\$50	\$125	\$0	\$125
All regional local governments	\$50	\$125	\$0	\$125

Signed on 23 October 2023.

M Seares AO
CHAIR

B A Sargeant PSM
MEMBER

Hon. J Day
MEMBER

SALARIES AND ALLOWANCES TRIBUNAL

7.2 Shire of Northam Annual Report 2022/23

File Reference:	8.2.7.1
Reporting Officer:	Mia Miller (Management Accountant)
Responsible Officer:	Colin Young (Executive Manager Corporate Services)
Officer Declaration of Interest:	Nil
Voting Requirement:	Absolute Majority
Press release to be issued:	Yes Public Notice

BRIEF

For Council to endorse the Annual Financial Report for 2022/23.

ATTACHMENTS

Nil

A. BACKGROUND / DETAILS

The Annual Financial Reports for the year ended 30 June 2023 have been audited and will be signed by the Chief Executive Officer and the Auditor General after acceptance by the Audit and Risk Management Committee.

This was the fifth year the Shire of Northam was audited by the Office of Auditor General (OAG). The process was rigorous and extensive. Dry Kirkness Chartered was appointed by the OAG as the Shire's Auditor.

B. CONSIDERATIONS

B.1 Strategic Community / Corporate Business Plan

Performance Area: Performance. Outcome 12: Excellence in organisational performance and customer service.

Objective 12.1: Maintain a high standard of corporate governance and financial management.

Priority Action: Nil.

Priority Action 12.1.1: Provide the community with an annual explanation of the Shire's short and long term financial commitments and overall financial health.

B.2 Financial / Resource Implications

Nil.

B.3 Legislative Compliance

Local Government (Audit) Regulations 1996 Section 9A

CEO to provide documents to Auditor General carrying out financial audit

(1) In this regulation — audit document means — (a) the strategic community plan as defined in the Local Government (Administration) Regulations 1996 regulation 19BA; or (b) the corporate business plan as defined in the Local Government (Administration) Regulations 1996 regulation 19BA; or (c) another plan or informing strategy specified by the Auditor General; or (d) another document specified by the Auditor General.

(2) The CEO must provide a copy of an audit document to the Auditor General within 14 days after the Auditor General requests it for the purposes of a financial audit under Part 7 Division 3A of the Act.

Local Government Act 1995 Section 5.53 Annual Reports;

(1) The local government is to prepare an annual report for each financial year.

(2) The annual report is to contain -

(a) a report from the mayor or president; and

(b) a report from the CEO; and

[(c), (d) deleted]

(e) an overview of the plan for the future of the district made in accordance with section 5.56, including major initiatives that are proposed to commence or to continue in the next financial year; and

(f) the financial report for the financial year; and

(g) such information as may be prescribed in relation to the payments made to employees; and

(h) the auditor's report for the financial year under section 7.9(1) or 7.12AD(1) for the financial year; and

(ha) a matter on which a report must be made under section 29(2) of the Disability Services Act 1993; and

(hb) details of entries made under section 5.121 during the financial year in the register of complaints, including

(i) the number of complaints recorded in the register of complaints, and

(ii) how the recorded complaints were dealt with; and

(iii) any other details that the regulations may require; and

(i) such other information as may be prescribed.

Local Government Act 1995 Section 5.54 Acceptance of Annual Reports;

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

* Absolute majority required.

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

Local Government Act 1995 Section 5.55 Notice of Annual Reports;

The CEO is to give local public notice of the availability of the annual report as soon as practicable after the report has been accepted by the local government.

B.4 Policy Implications

Nil

B.5 Stakeholder Engagement / Consultation

Subject the 2022/23 Annual Report being endorsed at the Ordinary Council Meeting on 20 December 2023, it is intended that public notice will be placed in the Shire of Northam newsletter by 22 December 2023. Notices will also be placed on our Notice Boards, Facebook and the Shire's website.

B.6 Risk Implications

Refer to Risk Matrix [here](#).

Risk Category	Description	Rating (likelihood x consequence)	Mitigation Action
Financial	N/A	N/A	N/A
Health & Safety	N/A	N/A	N/A
Reputation	N/A	N/A	N/A
Service Interruption	N/A	N/A	N/A
Compliance	The Annual Financial Report is not endorsed prior to 31 December annually.	Insignificant (1) x Possible (3) = Low (3)	Council has a documented process for developing the Annual Financial Report.

			In accordance with this process the Annual Financial Report is prepared and presented to the Audit and Risk Management Committee and Council by 31 December annually.
Property	N/A	N/A	N/A
Environment	N/A	N/A	N/A

B.7 Natural Environment Considerations

Nil

C. OFFICER'S COMMENT

The table below outlines the reconciliation between the budgeted surplus and the actual surplus as presented in the Financial Report. The adjustments will be carried out as part of the budget review process. The adjustments relate to timing and as such have no net effect on the overall budget.

Surplus Reconciliation 2022/23	
Budgeted Surplus	9,164,256.00
Accrued Revenue	377,023.00
Accrued Liability	-74,376.00
Actual Surplus	9,466,903.00
Unallocated	302,647.00

The Annual Financial Reports will be incorporated into the 2022/23 Annual Report.

Attachments will be made available separately to the agenda.

RECOMMENDATION

That the Audit and Risk Management Committee, by Absolute Majority, endorses the following recommendations being presented to Council:

- 1. That Council, by Absolute Majority; In accordance with Sections 5.53 and 5.54 of the *Local Government Act 1995*, accepts the Annual Financial Report for the 2022/23 financial year; and**
- 2. That Council, by Absolute Majority in accordance with Section 5.55 of the *Local Government Act 1995*, authorises the Chief Executive Officer to give public notice of the availability of the Annual Report from Friday, 22 December 2023.**

7.3 Shire of Northam Annual Electors General Meeting 2022/23

File Reference:	8.2.7.1
Reporting Officer:	Tamika Van Beek (Governance Officer)
Responsible Officer:	Debbie Terelinck (Chief Executive Officer)
Officer Declaration of Interest:	Nil.
Voting Requirement:	Simple Majority
Press release to be issued:	Public Notice

BRIEF

For Council to consider and endorse the date for the 2022/23 Annual Electors General Meeting.

ATTACHMENTS

Nil

A. BACKGROUND / DETAILS

The Annual Electors General Meeting is to be held within 56 days of the local government accepting the Annual Report.

A requirement of setting the date is that 14 days local public notice is required for advertising the meeting. Subject to the Annual Report being endorsed at the Ordinary Council Meeting on 20 December 2023, it is recommended that the 2022/23 Annual General Meeting be held prior to the Ordinary Council Meeting scheduled for 24 January 2024.

B. CONSIDERATIONS

B.1 Strategic Community / Corporate Business Plan

Performance Area: Performance. Outcome 12: Excellence in organisational performance and customer service.

Objective 12.1: Maintain a high standard of corporate governance and financial management.

Priority Action 12.1.1: Provide the community with an annual explanation of the Shire's short and long term financial commitments and overall financial health.

Performance Area: Performance.

Outcome 13: A well informed and engaged community.

Objective 13.2: Engage the community about Shire projects, activities

and decisions in a timely, open and effective manner.
 Priority Action: Nil.

B.2 Financial / Resource Implications

Nil.

B.3 Legislative Compliance

Local Government Act 1995 Section 5.27 Electors' general meetings;

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

Local Government (Administration) Regulation No 15 Matters for discussion at general electors' meetings - s. 5.27(3);

For the purposes of section 5.27(3), the matters to be discussed at a general electors' meeting are, firstly, the contents of the annual report for the previous financial year and then any other general business.

Local Government Act 1995 Section 5.29 Convening Electors' Meetings;

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

B.4 Policy Implications

Nil.

B.5 Stakeholder Engagement / Consultation

Subject to the 2022/23 Annual Report being endorsed at the Ordinary Council Meeting on 20 December 2023, it is intended that public notice will be placed in the Shire of Northam Newsletter by 22 December 2023. Notices will also be placed on our Notice Boards, Facebook and the Shire's website.

B.6 Risk Implications

Refer to Risk Matrix [here](#).

Risk Category	Description	Rating (likelihood x	Mitigation Action
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		consequence	
Financial	N/A	N/A	N/A
Health & Safety	N/A	N/A	N/A
Reputation	N/A	N/A	N/A
Service Interruption	N/A	N/A	N/A
Compliance	An Annual Electors Meeting is not held once each financial year and not more than 56 days after the local government accepts the annual report. Public Notice is not given in accordance with legislative requirements.	Insignificant (1) x Possible (3) = Low (3)	Council has a documented process for developing the Annual Report. This process includes the requirements associated with the Annual Electors Meetings.
Property	N/A	N/A	N/A
Environment	N/A	N/A	N/A

B.7 Natural Environment Considerations
 Nil.

C. OFFICER'S COMMENT

Council is requested to endorse the date proposed, in accordance with the *Local Government Act 1995*, for the Annual Electors Meeting.

RECOMMENDATION

That the Audit and Risk Management Committee endorse the following recommendation being presented to Council:

- 1. That Council holds the Annual Electors General Meeting on Wednesday, 24 January 2024 at 5:00pm at the Shire Administration Centre and authorise the Chief Executive Officer to give public notice of the meeting from Friday 22 December 2023.**

7.4 Monthly Compliance Report (August - October 2023)

File Reference:	1.6.1.6
Reporting Officer:	Britt Hadlow (Governance Coordinator)
Responsible Officer:	Debbie Terelinck (Chief Executive Officer)
Officer Declaration of Interest:	Nil
Voting Requirement:	Simple Majority
Press release to be issued:	No

BRIEF

This report provides an overview of the Shire's monthly compliance activities.

ATTACHMENTS

1. Compliance Audit August - October 2023 [7.4.1 - 7 pages]
2. Procurement Audit August - October 2023 [7.4.2 - 3 pages]

A. BACKGROUND / DETAILS

Under the *Local Government (Audit) Regulations 1996*, a Local Government is required to carry out a Compliance Audit for the period 1 January to 31 December of each year. To ensure compliance and to strengthen the auditing in key areas on a more regular basis, the Shire has implemented a monthly Compliance Calendar where specific activities and statutory requirements are audited internally.

B. CONSIDERATIONS

B.1 Strategic Community / Corporate Business Plan

Performance Area: Performance. Outcome 12: Excellence in organisational performance and customer service.

Objective 12.1: Maintain a high standard of corporate governance and financial management.

Priority Action 12.1.4: Provide internal auditing capabilities (including providing additional human or financial resources) and publish findings annually.

B.2 Financial / Resource Implications

Not applicable.

B.3 Legislative Compliance

There is no legislative requirement to maintain a Compliance Calendar, however it is considered best practice and covers the following legislation:

- *Local Government Act 1995;*
- *Local Government (Functions and General) Regulations 1996;*
- *Local Government (Administration) Regulations 1996;*
- *Local Government (Elections) Regulations 1997;*
- *Local Government (Audit) Regulations 1996;*
- *Valuation of Land Act 1978*
- *Building Services (Complaint Resolution and Administration) Regulations 2011*
- *Building and Construction Industry Training Fund and Levy Collection Act 1990*

B.4 Policy Implications

The Shire of Northam Fraud & Corruption Control Plan risk treatments which do not have a rating of high or extreme were incorporated into the compliance audit on a rotational cycle, however, it was discovered that some items in the Fraud & Corruption Control Plan were being audited as part of daily operations within Corporate Services.

The CEO, EMCS and Governance Coordinator are currently working on the key items within the Fraud & Corruption Control Plan to determine what is required to be audited and provided at Council level.

Risk ratings of high or extreme are captured on the Shire of Northam Risk Register in accordance with policy G 1.8 Risk Management which is reported to the committee in a separate report.

B.5 Stakeholder Engagement / Consultation

Nil.

B.6 Risk Implications

Refer to Risk Matrix [here](#).

Risk Category	Description	Rating (likelihood x consequence)	Mitigation Action
Financial	Ability to misuse funds.	Rare (2)x Medium (3) = Low (3)	Compliance calendar assists to ensure compliance
Health & Safety	N/A		
Reputation	N/A		
Service Interruption	N/A		

Compliance	Staff not following legislative requirements	Rare (2)x Medium (3) = Low (3)	Compliance calendar assists to ensure compliance
Property	N/A		
Environment	N/A		

B.7 Natural Environment Considerations

Nil.

C. OFFICER'S COMMENT

The monthly Compliance Calendar is an effective tool to assist in populating the Annual Compliance Audit Return (CAR) and enhances the Shire's ability to identify and manage issues which may arise during the year, in a timely manner.

Included in the Compliance Calendar is a random audit of creditors to ensure compliance with the Shire's purchasing policy and the requirements of the *Local Government Act 1995*.

A summary of the compliance reports are provided below:

Audit	Audit Month	Percentage Compliant	Non-Compliances
Compliance Audit	August	93%	<ul style="list-style-type: none"> • 3x delegated power or duties not included in delegation register. • Information not sent to Valuer General by the 14th of the month. • BFAC confirmed minutes not listed (06/12/2022) • Community Safety Committee Minutes were posted on website later than seven days. • 95% compliance – Procurement Audit.
	September	94%	<ul style="list-style-type: none"> • 3x delegated power or duties not included in delegation register. • CEO did not provide to candidates of elections gift disclosure obligations in writing.

			<ul style="list-style-type: none"> • Building Construction Training Fund Levy – Payment was not made by the 10th day of the month. • BFAC confirmed minutes not listed (06/12/2022). • 90% compliance – Procurement Audit.
	October	95%	<ul style="list-style-type: none"> • 2x delegated power or duties not included in delegation register. • Building Services Levy - Payment was not made by 14th day of the month. • Building Construction Training Fund Levy – Payment was not made by the 10th day of the month. • BFAC confirmed minutes not listed (06/12/2022).
Procurement Audit	August	95%	<ul style="list-style-type: none"> • PO dated after the invoice issue date.
	September	90%	<ul style="list-style-type: none"> • PO dated after the invoice issue date & no file note was included.
	October	100%	Nil.

RECOMMENDATION

That the Audit and Risk Management Committee endorses the following recommendation being presented to Council:

- 1. That Council receives the November 2023 update as provided in the Monthly Compliance Report.**

Compliance Audit: August - October 2023									
Compliance Area	Compliance Action	Compliance Requirement	Compliance Frequency	August	August Comments	September	September Comments	October	October Comments
Code of Conduct	Has the CEO published an up-to-date version of the code of conduct for employees on the local government's website	Local Government Act 1995 s5.104(7)	Monthly	Yes		Yes		Yes	
Code of Conduct	Has the CEO prepared and implemented a code of conduct to be observed by employees of the local government in accordance with section 5.51A(1) of the Local Government Act 1995	Local Government Act 1995 s5.51A(1) & (3)	Monthly	Yes	Approved by CEO on 29 December 2021.	Yes	Approved by CEO on 29 December 2021.	Yes	
Commercial Enterprises by Local Governments	Has the local government prepared a business plan for each major trading undertaking that was not exempt?	Local Government Act 1995 s3.59(2)(a) F&G Regs 7.9,10	Monthly	Not applicable		Not applicable		Not applicable	
Commercial Enterprises by Local Governments	Has the local government prepared a business plan for each major land transaction that was not exempt	Local Government Act 1995 s3.59(2)(b) F&G Regs 7.8A, 8, 10	Monthly	Not applicable		Not applicable		Not applicable	
Commercial Enterprises by Local Governments	Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction	Local Government Act 1995 s3.59(2)(c) F&G Regs 7.8A, 8,10	Monthly	Not applicable		Not applicable		Not applicable	
Commercial Enterprises by Local Governments	Has the local government complied with public notice and publishing requirements for each proposal to commence a major trading undertaking or enter into a major land transaction or a land transaction that is preparatory to a major land transaction	Local Government Act 1995 s3.59(4)	Monthly	Not applicable		Not applicable		Not applicable	
Commercial Enterprises by Local Governments	Did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority	Local Government Act 1995 s3.59(5)	Monthly	Not applicable		Not applicable		Not applicable	
Delegation of Power / Duty	Were all decisions by the council to amend or revoke a delegation made by absolute majority	Local Government Act 1995 s5.16(3)(b) & s5.45(1)(b)	Monthly	Not applicable		Not applicable		Not applicable	
Delegation of Power / Duty	Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record in accordance with Local Government (Administration) Regulations 1996, Regulation 19 Was the Delegated Authority Register updated?	Local Government Act 1995 s5.46(3) Admin Reg 19	Monthly	No	- E01 not updated with a road closure at the entrance Northam Recreation Centre, Peel Terrace which was advertised on 28/08/2023. - E02 not updated with a road closure relating to the Northam Festival of Ballooning which was advertised on 29/08/2023. - E04 not updated with crossover approvals O82058 and O81814.	No	A01 - Exercised Delegation not included Hangar 27 Deed of Assignment. E04 - Exercised Delegation not included Cross over application for 54&56 Fairway Bend F04 - Exercised Delegation not included Advertisement of RFQ 04 of 2023 - Disposal of Land by Lease - A portion of Killara Adult Day Care and Respite Centre	No	E04 - Exercised Delegation not included - Vehicle crossover construction at 60 Bodeguero Way P03 - Incorrect staff member entered into register (without DA authority) Delegate Approved - 4 x Sea Containers for Storage - A16147
Disclosure of Interest	Where a council member disclosed an interest in a matter and did not have participation approval under sections 5.68 or 5.69 of the Local Government Act 1995, did the council member ensure that they did not remain present to participate in discussion or decision making relating to the matter	Local Government Act 1995 s5.67	Monthly	Not applicable	Nil disclosures made by Councillors to this nature.	Not applicable	Nil received.	Not applicable	
Disclosure of Interest	Were all decisions regarding participation approval, including the extent of participation allowed and, where relevant, the information required the Local Government (Administration) Regulations 1996 regulation 21A, recorded in the minutes of the relevant council or committee meeting	Local Government Act 1995 s5.68(2) & s5.69(5) Admin Reg 21A	Monthly	Not applicable		Not applicable	Nil received.	Not applicable	
Disclosure of Interest	Were disclosures under section sections 5.65, 5.70 or 5.71A(3) of the Local Government Act 1995 recorded in the minutes of the meeting at which the disclosures were made	Local Government Act 1995 s5.73	Monthly	Yes		Yes		Yes	
Disclosure of Interest	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report	Local Government Act 1995 s5.70(2) & (3)	Monthly	Yes		Yes		Yes	
Disclosure of Interest	Where council applied to the Minister to allow the CEO to provide advice or a report to which a disclosure under s5.71A(1) of the Local Government Act 1995 relates, did the application include details of the nature of the interest disclosed and any other information required by the Minister for the purposes of the application	Local Government Act 1995 s5.71A & s5.71B(5)	Monthly	Not applicable		Not applicable		Not applicable	
Disclosure of Interest	Was any decision made by the Minister under subsection 5.71B(6) of the Local Government Act 1995 recorded in the minutes of the council meeting at which the decision was considered	Local Government Act 1995 s5.71B(6) & s5.71B(7)	Monthly	Not applicable		Not applicable		Not applicable	

Compliance Area	Compliance Action	Compliance Requirement	Compliance Frequency	August	August Comments	September	September Comments	October	October Comments
Disclosure of Interest	Where an employee has been delegated a power or duty relating to a matter and the employee has an interest in the matter, the employee must not exercise the power or discharge the duty. In the case of the CEO, the interest must be disclosed to the President. In the case of all other employees, the interest must be disclosed to the CEO. Risk areas identified include: - Debt write off - Grant applications & use - Granting of subsidies & waivers - Granting of concessions & other relief - Tendering - Purchasing - Development approvals - Building approvals - Recruitment - Disposal of property, including leasing	Local Government Act 1995 s.5.71 Fraud and Corruption Control Plan, action item from the 2022 Regulation 17 review.	Monthly	Not applicable	Nil identified	Not applicable	Nil identified.	Not applicable	
Disposal of Property	Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) of the Local Government Act 1995 (unless section 3.58(5) applies)	Local Government Act 1995 s3.58(3)	Monthly	Yes	One disposal occurred relating to the assignment of Hangar 1 however this is an exempt disposition under 3.58(5) due to the disposal relating to recreational purposes where the lessee does not receive any benefit.	Yes	Hangar 27 - advertised 16/08/2023	Not applicable	Nil disposed of
Disposal of Property	Where the local government disposed of property under section 3.58(3) of the Local Government Act 1995, did it provide details, as prescribed by section 3.58(4) of the Act, in the required local public notice for each disposal of property	Local Government Act 1995 s3.58(4)	Monthly	Not applicable		Not applicable		Not applicable	
Elections	Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the forms relating to each candidate in accordance with regulations 30G(1) and 30G(2) of the Local Government (Elections) Regulations 1997	Local Government Act 1995 Elect Regs 30G(1) & (2)	September			Yes			
Elections	Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with regulation 30G(5) of the Local Government (Elections) Regulations 1997	Local Government Act 1995 Elect Regs 30G(5) & (6)	September			Yes			
Elections	Statewide Public Notice Enrolment Eligibility Claims - CEO to give notice of the closing date and time for elector enrolments. (to be given 70th to 56th days)	Local Government Act 1995 s.4.39(2)	August	Yes	8 August 2023 https://www.northam.wa.gov.au/publicnotices/close-of-enrolments-local-government-ordinary-election-2023/288				
Elections	CEO to advise Electoral Commissioner of the need to prepare an updated residents roll Due by 56th day before Election Day	Local Government Act 1995 s.4.40(1)	August						
Elections	Statewide Public Notice Call for Nominations - from 56 days and no later than 45th day before Election Day	Local Government Act 1995 s.4.40(1)	August	Yes	23 August 2023 https://www.northam.wa.gov.au/publicnotices/call-for-nominations-local-government-ordinary-elections-2023/295				
Elections	Close of Rolls at 5pm on 50th day before Election Day. Enrolment eligibility claims received by 5pm can continue to be processed with a decision on eligibility required for inclusion in the Owners and Occupiers Roll, as appropriate before it is certified by the CEO on the 36th day before Election Day [refer s.4.4(1)]	Local Government Act 1995 s.4.39(1)	August	Yes	Nil submissions received.				
Elections	Decision to reject or accept enrolment claim to be provided to claimant without delay	Local Government Act 1995 s. 4.33 LG Election Regs Form 3 & 4	August	Not applicable	Nil submissions received.				
Elections	Elections - Statewide Public Notice Call for Nominations - no later than 45th day before Election Day	Local Government Act 1995 s.4.47(1)	September			Yes			
Elections	Nominations Close at 4pm on (37th day before Election Day)	Local Government Act 1995 s.4.49(a)	September			Yes			
Elections	Declarations of Office for new Elected Members elected unopposed (due 2 months from declaration of result - close of nominations 37th day before Election Day)	Local Government Act 1995 s.2.29 (6.2.32(c))	September			Not applicable	Election went to vote.		


Compliance Area	Compliance Action	Compliance Requirement	Compliance Frequency	August	August Comments	September	September Comments	October	October Comments
Elections	Candidate / Donor Gift Disclosures - CEO written advice to Candidates of Elections Gift Disclosure obligations.	Local Government Act 1995 s.4.59 Elections Regs Part 5A Form 9A	September			No	CEO did not provide to candidates of elections gift disclosure obligations in writing		
Elections	Residents Roll to be prepared by Electoral Commissioner and forwarded to CEO - Due by 36th day before Election Day	Local Government Act 1995 s.4.40(2)	September			Yes			
Elections	Owners and Occupiers Roll to be prepared and certified by CEO Due by 36th day before Election Day	Local Government Act 1995 s.4.41(1)	September			Yes			
Elections	Statewide Public Notice of Election Day by Returning Officer - between 36th and 19th day before Election Day	Local Government Act 1995 s.4.64(1)	September			Yes			
Elections	Consolidated Roll (Resident / Owners and Occupiers) at Returning Officer's discretion, to be completed by (22nd day before Election Day)	Local Government Act 1995 s.4.38(1) Elections Reg.18	September			Yes			
Elections	Supply of Rolls - CEO to provide Returning Officer with sufficient rolls and copies to be provided free of charge to candidates and Elected Members who ask	Local Government Act 1995 s.4.42	September			Yes			
Elections	Declarations of Office for new Elected Members, Shire President / Mayor and Deputy Shire President / Mayor sworn in following Election Day (2 months from declaration of result - s.2.32(c))	Local Government Act 1995 s.2.29	October					Yes	25 October 2023 Special Council Meeting.
Elections	Report to Minister (by 14th day after election)	Local Government Act 1995 s.4.79 Elections Reg.81	October					Yes	Attached
Elections	Primary Returns - Request new Elected Members - required to be lodged with CEO within 3 months of making Declarations of Office	Local Government Act 1995 s.5.75(1)	October					Yes	PR & RPD have been issued, waiting on them being returned
Elections	Election of Deputy President - elected from amongst the Councillors - conducted in accordance with Schedule 2.3, Div.1	Local Government Act 1995 s.2.11(1)(b) Schedule 2.3.Div.1	October					Yes	
Elections	Elected Member Induction - Provide an induction for newly elected Councillors.	N/A	October					Yes	25 October 2023 before SCM
Elections	Election Papers - election of Shire President / Mayor, Deputy President / Mayor and Committee Presiding Members and deputies - Election Papers collected and secured in parcels	Local Government Act 1995 s.4.84(a) Elections Reg.82	October					Yes	Committee Presiding Members are yet to be determined
Finance	Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Local Government Act 1995	Local Government Act 1995 s7.1A	October					Yes	
Finance	Was a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.221(1)(d) presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995 s.6.4 FM.Reg.34	Monthly	Yes	Financial Statement for July going to September OCM.	Yes		Yes	
Finance	During period 1 June to 31 August, Local Government is to prepare and adopt, by absolute majority, an Annual Budget for the next financial year.	Local Government Act 1995 s.6.2(1)	August	Yes	Adopted OCM 9 August 2023 C.4824				
Finance	By 30 September, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June	Local Government Act 1995 s6.4(3)	September			Yes	Submitted 22/09/2023 - O82908		
Finance	A copy of the annual budget and minutes of the meeting at which the budget was adopted must be submitted to the Department of Local Government, Sport and Cultural Industries within 14 days from budget adoption.	Local Government Act 1995 FM.Reg.33	August	Yes					
Gifts	Did the CEO keep a register of gifts which contained a record of disclosures made under sections 5.87A and 5.87B of the Local Government Act 1995, in the form prescribed in the Local Government (Administration) Regulations 1996, regulation 28A	Local Government Act 1995 s5.89A(1), (2) & (3) Admin Reg 28A	Monthly	Yes	https://www.northam.wa.gov.au/registers/gifts	Yes		Yes	
Gifts	Did the CEO publish an up-to-date version of the gift register on the local government's website	Local Government Act 1995 s5.89A(5) & (5A)	Monthly	Yes		Yes	https://www.northam.wa.gov.au/registers/gifts	Yes	
Gifts	When people cease to be a person who is required to make a disclosure under section 5.87A or 5.87B of the Local Government Act 1995, did the CEO remove from the register all records relating to those people	Local Government Act 1995 s5.89A(6)	Monthly	Not applicable	Nil required to be removed	Not applicable	Nil required to be removed	Not applicable	
Gifts	Have copies of all records removed from the register under section 5.89A(6) Local Government Act 1995 been kept for a period of at least five years after the person ceases to be a person required to make a disclosure	Local Government Act 1995 s5.89A(7)	Monthly	Yes		Yes		Not applicable	
Gifts	Where a disclosure was made under sections 5.87A or 5.87B of the Local Government Act 1995, were the disclosures made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C of the Act	Local Government Act 1995 s5.87C	Monthly	Not applicable		Not applicable		Not applicable	

Compliance Area	Compliance Action	Compliance Requirement	Compliance Frequency	August	August Comments	September	September Comments	October	October Comments
Local Government Employees	Were all CEO and/or senior employee vacancies advertised in accordance with Local Government (Administration) Regulations 1996, regulation 18A	Local Government Act 1995 s5.36(4) & s5.37(3) Admin Reg 18A	Monthly	Not applicable		Not applicable		Not applicable	
Local Government Employees	Was all information provided in applications for the position of CEO true and accurate	Local Government Act 1995 Admin Reg 18E	Monthly	Not applicable		Not applicable		Not applicable	
Local Government Employees	Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position under section 5.36(4) of the Local Government Act 1995	Local Government Act 1995 Admin Reg 18F	Monthly	Not applicable		Not applicable		Not applicable	
Local Government Employees	Did the CEO inform council of each proposal to employ or dismiss senior employee	Local Government Act 1995 s5.37(2)	Monthly	Not applicable	Only senior employee is the CEO, see policy G 1.7	Not applicable	Only senior employee is the CEO, see policy G 1.7	Not applicable	
Local Government Employees	Where council rejected a CEO's recommendation to employ or dismiss a senior employee, did it inform the CEO of the reasons for doing so	Local Government Act 1995 s5.37(2)	Monthly	Not applicable	Only senior employee is the CEO, see policy G 1.7	Not applicable	Only senior employee is the CEO, see policy G 1.7	Not applicable	
Official Conduct	Has the local government designated an employee to be its complaints officer	Local Government Act 1995 s5.120	Monthly	Yes	Designation made on 18/05/16, decision no. C.2693 for Colin Young, Executive Manager Corporate Services to be the Complaints Officer.	Yes	Designation made on 18/05/16, decision no. C.2693 for Colin Young, Executive Manager Corporate Services to be the Complaints Officer.	Yes	
Official Conduct	Has the complaints officer for the local government maintained a register of complaints which records all complaints that resulted in a finding under section 5.110(2)(a) of the Local Government Act 1995	Local Government Act 1995 s5.121(1) & (2)	Monthly	Yes	Nil received	Yes	Nil received	Yes	
Official Conduct	Does the complaints register include all information required by section 5.121(2) of the Local Government Act 1995	Local Government Act 1995 s5.121(2)	Monthly	Yes	Nil received	Yes	Nil received	Yes	
Official Conduct	Has the CEO published an up-to-date version of the register of the complaints on the local government's official website	Local Government Act 1995 s5.121(3)	Monthly	Yes		Yes		Yes	
Other	CEO Authority to Speak on behalf of the LG - if new Shire President is elected, seek / obtain written authority from Shire President for CEO to speak on behalf of the Local Government.	Local Government Act 1995 s.5.41(f)	October					Yes	Permission granted 14/11/2023
Other	Food Act and Public Health Act reporting - Enforcement agencies must report to the Dept CEO on performance of functions under Acts. Reporting has been combined and must be submitted online by 31 August.	Food Act 2008 s.121(1) Public Health Act 2016 s.22(1)	August	Yes					
Other	Was the below information provided to the Valuer General by the 14th day of each month: • building licenses issued • building license works completed • registered plans and amendments under the Strata Titles Act 1985	Valuation of Land Act 1978 s.37	Monthly	No		Yes	Sent 11/10/2023	Yes	Sent 08/11/2023
Other	Have Elected Members not been absent for 3 consecutive ordinary meetings with Leave of Absence being granted	Local Government Act 1995 s.2.25	August, December, June, March	Yes					
Other	Establishment of Audit Committee - following Elections, Council must establish an Audit Committee - with membership of 3 or more persons, by Absolute Majority, and appoint committee members and deputies. Each Elected Member is entitled to be a member of at least one committee.	Local Government Act 1995 s.7.1A, s.5.8, s.5.9, s.5.10, s.5.11A, s.5.11	October					Yes	https://www.norham.wa.gov.au/council-meetings/special-meeting/special-council-meeting-25-october-2023/591
Other	Establishment of Committees - following Elections, Council may establish committees (other than Audit) of 3 or more persons, by Absolute Majority, and appoint committee members and deputies. Each Elected Member is entitled to be a member of at least one committee.	Local Government Act 1995 s.5.8, s.5.9, s.5.10, s.5.11A, s.5.11	October					Yes	https://www.norham.wa.gov.au/council-meetings/special-meeting/special-council-meeting-25-october-2023/591
Other	Establishment of Committees - Each committee has been established with a Terms of Reference, that details the purpose of the Committee and the scope of matters that the Committee will deal with.	Local Government Act 1995 s.5.8	October					Yes	https://www.norham.wa.gov.au/documents/council-committee-terms-of-reference
Other	Election of Committee Presiding Members and deputies - conducted in accordance with Schedule 2.3, Div. 1	Local Government Act 1995 s.5.12 Schedule 2.3, Div. 1	October					Yes	BFAC, A&R, Comm Grants, and Safety Committee are all in November.
Other	Appointment of Elected Members to External Bodies	N/A	October					Yes	https://www.norham.wa.gov.au/documents/council-committee-terms-of-reference


Compliance Area	Compliance Action	Compliance Requirement	Compliance Frequency	August	August Comments	September	September Comments	October	October Comments
Other	Building Services Levy - Payment made by 14th day of the month.	Building Services (Complaint Resolution and Administration) Regulations 2011 s.16	Monthly	Yes	Item for August is currently compliant - invoice received 13/9/2023 & currently being processed. Noting non-compliance from last July, spoke to DSO who advised that due to lack of staff training it got missed for July. July is currently being processed with Augusts.	Yes	September BSL sent off on 12/10/2023	No	Training was provided to DSA on 16/11/2023. BSL was submitted to finance 16/11/2023
Other	Building Construction Training Fund Levy - Payment made the 10th day of the month Construction Training Fund.	Building and Construction Industry Training Fund and Levy Collection Act 1990	Monthly	Yes	Item for August is currently compliant - invoice received 13/9/2023 & currently being processed. Noting non-compliance from last July, spoke to DSO who advised that due to lack of staff training it got missed for July. July is currently being processed with Augusts.	No	Information received Tuesday 10/09/2023. Notification from DSO that invoice was submitted to finance 12/10/2023. Paid 8/11/2023 due to receipting being behind due to staff vacancies.	No	CTF report submitted to finance 16/11/2023/
Other	Public Access to Information - Audit Check LG website, Library and LG office to ensure all information listed in s.5.94, s.5.96A and Admin. Reg.29 is publicly accessible (see s.5.96 too) and that customer service staff are trained to provide access accordingly. Audit to note limitations: s.5.95 and Admin. Regs. 29A and 29B	Local Government Act 1995 s.5.94, s.5.95, s.5.96, s.5.96A Admin. Reg.29, 29A, 29B	Monthly	No	- BFAC confirmed minutes not listed (06/12/2022) - Community Safety Committee Minutes were posted on website later than seven days.	No	-BFAC confirmed minutes not listed (06/12/2022)	No	- BFAC confirmed minutes not listed (06/12/2022)
Other	Food Act and Public Health Act Annual Report The Department of Health requires local government enforcement agencies to submit an annual report by 31 August on their performance under the Food Act and Public Health Act.	Food Act 2008 s121 Public Health Act 2016 s22	August	Yes	Submitted 25/7/2023				
Other	Emergency Services Levy payment made by 21 day	DFES - ESL Manual of Operating Procedures 2.2.12	December, June, March, September			Yes	Paid 21/09/2023		
Primary / Annual Returns	Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day	Local Government Act 1995 s5.75 Admin Reg 22, Form 2	Monthly	Yes		Not applicable		Yes	
Primary / Annual Returns	Was an annual return in the prescribed form lodged by all relevant persons by 31 August	Local Government Act 1995 s5.76 Admin. Reg 23, Form 3	August	Yes					
Primary / Annual Returns	On receipt of a primary or annual return, did the CEO, or the mayor/president, give written acknowledgment of having received the return	Local Government Act 1995 s5.77	Monthly	Yes		Not applicable		Yes	
Primary / Annual Returns	Did the CEO keep a register of financial interests which contained the returns lodged under sections 5.75 and 5.76 of the Local Government Act 1995	Local Government Act 1995 s5.88(1) & (2)(a)	Monthly	Yes		Yes		Yes	
Primary / Annual Returns	Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70, 5.71 and 5.71A of the Local Government Act 1995, in the form prescribed in the Local Government (Administration) Regulations 1996, regulation 28	Local Government Act 1995 s5.88(1) & (2)(b) Admin Reg 28	Monthly	Yes		Yes		Yes	
Primary / Annual Returns	When a person ceased to be a person required to lodge a return under sections 5.75 and 5.76 of the Local Government Act 1995, did the CEO remove from the register all returns relating to that person	Local Government Act 1995 s5.88(3)	Monthly	Yes		Yes		Yes	
Primary / Annual Returns	Have all returns removed from the register in accordance with section 5.88(3) of the Local Government Act 1995 been kept for a period of at least five years after the person who lodged the return(s) ceased to be a person required to lodge a return	Local Government Act 1995 s5.88(4)	Monthly	Yes		Yes		Yes	
Tenders for Providing Goods & Services	Did the local government comply with its current purchasing policy, adopted under the Local Government (Functions and General) Regulations 1996, regulations 11A(1) and (3) in relation to the supply of goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less	Local Government Act 1995 F&G Reg 11A(1) & (3)	Monthly	No	90% compliant. Non-compliances include: 1x PO not issued before invoice.	No	90% Compliance Non-compliance: File note not included as to why a PO was issued after invoice.	Yes	RFT 7 2023 - Northam Bike Hub Upgrades RFT 8 2023 - Cleaning of Northam Townsite Buildings

Compliance Area	Compliance Action	Compliance Requirement	Compliance Frequency	August	August Comments	September	September Comments	October	October Comments
Tenders for Providing Goods & Services	Subject to Local Government (Functions and General) Regulations 1996, regulation 11(2), did the local government invite tenders for all contracts for the supply of goods or services where the consideration under the contract was, or was expected to be, worth more than the consideration stated in regulation 11(1) of the Regulations	Local Government Act 1995 s3.57 F&G Reg 11	Monthly	Yes		Yes		Yes	Requested through Vendor Panel, website & Ad in West Australian
Tenders for Providing Goods & Services	When regulations 11(1), 12(2) or 13 of the Local Government Functions and General) Regulations 1996, required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with Regulation 14(3) and (4)	Local Government Act 1995 F&G Regs 11(1), 12(2), 13, & 14(1), (3), and (4)	Monthly	Yes		Yes	04 of 2023 - Lease of a portion of Killara Adult Day Care and Respite Centre, 2 Burgoyne St	Yes	2x Tenders advertised through Vendor Panel, website & Ad in West Australian
Tenders for Providing Goods & Services	Did the local government comply with Local Government (Functions and General) Regulations 1996, Regulation 12 when deciding to enter into multiple contracts rather than a single contract	Local Government Act 1995 F&G Reg 12	Monthly	Not applicable		Not applicable		Not applicable	
Tenders for Providing Goods & Services	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	Local Government Act 1995 F&G Reg 14(5)	Monthly	Yes	Managed through VendorPanel	Not applicable		Not applicable	
Tenders for Providing Goods & Services	Did the local government's procedure for receiving and opening tenders comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 15 and 16	Local Government Act 1995 F&G Regs 15 & 16	Monthly	Yes	RFT 06 of 2023 was opened Tuesday 8th August 2023 @ 10:52am (WAST)	Yes	04 of 2023 - Lease of a portion of Killara Adult Day Care and Respite Centre, 2 Burgoyne St	Not applicable	Nil opened in October
Tenders for Providing Goods & Services	Did the information recorded in the local government's tender register comply with the requirements of the Local Government (Functions and General) Regulations 1996, Regulation 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website	Local Government Act 1995 F&G Reg 17	Monthly	Not applicable	RFT 06 of 2023 is going to be awarded at SEPT OCM - Waiting on successful Tenderer before Register can be completed.	Yes	06 of 2023 - Green Waste Processing Services	Yes	
Tenders for Providing Goods & Services	Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender	Local Government Act 1995 F&G Reg 18(1)	Monthly	Not applicable	Nil rejected.	Not applicable	Nil rejected.	Not applicable	Nil rejected
Tenders for Providing Goods & Services	Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept	Local Government Act 1995 F&G Reg 18(4)	Monthly	Yes		Yes	04 of 2023 - Lease of a portion of Killara Adult Day Care and Respite Centre, 2 Burgoyne St	Not applicable	Nil evaluated
Tenders for Providing Goods & Services	Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted	Local Government Act 1995 F&G Reg 19	Monthly	Not applicable	No Tenders awarded in August	Yes	06 of 2023 - Green Waste Processing Services	Yes	04 of 2023 - Lease of a portion of Killara Adult Day Care and Respite Centre, 2 Burgoyne St
Tenders for Providing Goods & Services	Did the local government's advertising and expression of interest processes comply with the requirements of the Local Government (Functions and General) Regulations 1996, Regulations 21 and 22	Local Government Act 1995 F&G Regs 21 & 22	Monthly	Not applicable		Not applicable		Not applicable	
Tenders for Providing Goods & Services	Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice	Local Government Act 1995 F&G Reg 23(1) & (2)	Monthly	Not applicable		Not applicable		Not applicable	
Tenders for Providing Goods & Services	Were all expressions of interest that were not rejected under the Local Government (Functions and General) Regulations 1996, Regulation 23(1) & (2) assessed by the local government? Did the CEO list each person as an acceptable tenderer	Local Government Act 1995 F&G Reg 23(3) & (4)	Monthly	Not applicable		Not applicable		Not applicable	
Tenders for Providing Goods & Services	Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with Local Government (Functions and General) Regulations 1996, Regulation 24	Local Government Act 1995 F&G Reg 24	Monthly	Not applicable		Not applicable		Not applicable	

Compliance Area	Compliance Action	Compliance Requirement	Compliance Frequency	August	August Comments	September	September Comments	October	October Comments
Tenders for Providing Goods & Services	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with Local Government (Functions and General) Regulations 1996, Regulations 24AD(4) and 24AE	Local Government Act 1995 F&G Regs 24AD(2) & (4) and 24AE	Monthly	Not applicable		Not applicable		Not applicable	
Tenders for Providing Goods & Services	If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application notice of the variation	Local Government Act 1995 F&G Reg 24AD(6)	Monthly	Not applicable		Not applicable		Not applicable	
Tenders for Providing Goods & Services	Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application	Local Government Act 1995 F&G Reg 24AF	Monthly	Not applicable		Not applicable		Not applicable	
Tenders for Providing Goods & Services	Did the information recorded in the local government's tender register about panels of pre-qualified suppliers comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 24AG	Local Government Act 1995 F&G Reg 24AG	Monthly	Not applicable		Not applicable		Not applicable	
Tenders for Providing Goods & Services	Did the local government reject any applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time, specified in the invitation for applications	Local Government Act 1995 F&G Reg 24AH(1)	Monthly	Not applicable		Not applicable		Not applicable	
Tenders for Providing Goods & Services	Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept	Local Government Act 1995 F&G Reg 24AH(3)	Monthly	Not applicable		Not applicable		Not applicable	
Tenders for Providing Goods & Services	Did the CEO send each applicant written notice advising them of the outcome of their application	Local Government Act 1995 F&G Reg 24AI	Monthly	Not applicable		Not applicable		Not applicable	
				Compliance Items	76	Compliance Items	77	Compliance Items	77
				Items Compliant	70	Items Compliant	72	Items Compliant	73
				Items Non-Compliant	4	Items Non-Compliant	5	Items Non-Compliant	4
				Percentage Compliant	93%	Percentage Compliant	94%	Percentage Compliant	95%
				Auditor:	Britt Hadlow	Auditor:	Britt Hadlow	Auditor:	Britt Hadlow
				Auditor Signature:		Auditor Signature:		Auditor Signature:	
				Date Completed:	14/9/2023	Date Completed:	12/10/2023	Date Completed:	14/11/2023

Procurement Audit August: - October 2023											
Audit Month	EFT Number	Creditor	Invoice Description	Invoice Amount	Invoice Date	Purchase Order Number	Purchase Order Amount	Purchase Order Date	Date of Order Prior to Invoice	Compliance with Purchasing Policy/Process	Comment
August	EFT48048	Avon Valley Bakery	Cupcakes to be supplied For NAIDOC Week By 9am on 04/07/2023	\$200.00	04/07/23	71757	\$250.00	04/07/23	Yes	Yes	
August	EFT48055	CDA Air & Solar York	Inkpen tip building - supply and install extra 4kwh battery to solar system	\$3,880.00	17/07/23	71713	\$3,880.00	28/06/23	Yes	Yes	
August	EFT48070	How Ya Going Now PTY LTD	Cattle - agistment, carting, calves tagged	\$5,141.40	15/07/23	72180	\$5,141.40	31/07/23	No	Yes	File note included as to why PO was dated after the invoice
August	EFT48088	Pro - Tramp Australia PTY LTD	Snow pit - delivery, set up, operate & pack up	\$11,000.00	02/07/23	71508	\$22,000.00	12/06/23	Yes	Yes	
August	EFT48154	Supercivil	Supply and install 53lm x.5 concrete apron @ 100mm thick. Location vintage car club	\$8,844.11	26/07/23	71718	\$8,844.11	28/06/23	Yes	Yes	
August	EFT48191	Fresh Trading Co Ops PTY LTD	Catering rec staff morning tea	\$69.50	12/07/23	71985	\$69.50	12/07/23	Yes	Yes	
August	EFT48194	JB HI-FI Group PTY LTD	Hisense 85" A7KAU 4k UHD Led Smart TV [2023] - Depot	\$2,495.00	03/08/23	72028	\$2,495.00	17/07/23	Yes	Yes	
August	EFT48213	Redspot Head Office PTY LTD	Supply of hire vehicle - Toyota Hilux dual cab tray back diesel ute c/w bullbar, towbar, 2 undertray tool boxes (full mine spec compliance) until replacement PN1307 is delivered 12/4/2023 - 23/5/2023	\$4,586.32	29/07/23	71011	\$7,147.80	04/05/23	Yes	Yes	
August	EFT48230	Warricks Newsagency	Shire Admin Building - general stationery	\$163.33	10/07/23	71654	\$176.65	22/06/23	Yes	Yes	
August	EFT48336	FM Surveys	Norham Depot Redevelopment - Survey points for fencing project / Wellington Street footpath construction. Survey pick up for footpath construction.	\$2,970.00	04/08/23	72145	\$2,700.00	10/08/23	Yes	Yes	
August	EFT48386	Westgrow Farm Trees - B&J West T/AS	As per attached quote, advanced plants for the Norham RV park area for the 2024 winter planting season. 190 plants in 3-5l pots, all local native varieties.	\$2,999.18	09/08/23	72292	\$2,999.18	08/08/23	Yes	Yes	
COMPLIANCE				95%							
COMPLETED BY:				ALYSHA MCCALL							
SIGNED:											

Audit Month	EFT Number	Creditor	Invoice Description	Invoice Amount	Invoice Date	Purchase Order Number	Purchase Order Amount	Purchase Order Date	Date of Order Prior to Invoice	Compliance with Purchasing Policy/Process	Comment	
September	EFT48402	Duncan Group International	12x Olive Oil Bottle for Visitors Centre	\$120.00	31/08/23	72571	\$120.00	28/08/23	Yes	Yes		
September	EFT48438	WCP Civil	C.202122-05 Resealing Works - Progress Claim 4 - Parker/Clarke & Forward Street	\$76,352.95	28/06/23	65826	\$601,400.27	15/03/23	Yes	Yes		
September	EFT48463	Cadd's Fashions	Staff Uniforms	\$629.50	28/08/23	71703	\$629.50	28/06/23	Yes	Yes		
September	EFT48511	Shred-X	Emptying of Depot Shredder Bin Emptying of Admin Shredder Bin	\$90.52	31/07/23	71742	\$90.52	29/06/23	Yes	Yes		
September	EFT48551	Professional Lockservice	Northam Depot - Supply 3x DO1 Padlocks & 4x MKD Keys	\$410.00	04/09/23	72626	\$450.00	30/08/23	Yes	Yes		
September	EFT48558	Country Copiers	Killara - C3830 - Printer Service & Meter Reading 05/07/2023 - 07/09/2023	\$266.75	07/09/23	72065	\$4,160.60	20/07/23	Yes	Yes		
September	EFT48541	DMC Cleaning	Admin Building Paper Products 2023-2024 New Depot Admin Building Paper Products 2023-2024	\$185.34	01/09/23	72793	\$115,167.92	12/09/23	No	No	File note not included detailing why PO was dated after Invoice. File note now attached.	
September	EFT48568	Cannon	Wundowie Pool 1x Signature M FHU 22L 01/07/2023 - 30/06/2023 Northam Aquatic Facility 9x Signature MFHU 22L 4x White Signature Nappy Bins w/ Pedal	\$676.23	14/09/23	71626	\$10,171.81	20/06/23	Yes	Yes		
September	EFT48578	G.S Beverage & L.P Nottle	Bernard Park Sound Shell - Pressure Wash Prior to Women's Ballooning Event	\$1,750.00	27/08/23	72555	\$1,750.00	25/08/23	Yes	Yes		
September	EFT48565	Blackwell Plumbing	Lesser Hall - Repair/Report on Instant Boiling HWS in Kitchen & Leaking to Pipe Outside	\$129.80	07/09/23	72618	\$250.00	30/08/23	Yes	Yes		
COMPLIANCE				90%								
COMPLETED BY:				Britt Hadlow <i>[Signature]</i>								
SIGNED:				<i>[Signature]</i>								

Audit Month	EFT Number	Creditor	Invoice Description	Invoice Amount	Invoice Date	Purchase Order Number	Purchase Order Amount	Purchase Order Date	Date of Order Prior to Invoice	Compliance with Purchasing Policy/Process	Comment
October	EFT48702	Jason Signmakers	Double sided street blade SON specs - "Cecil Rd"	\$72.52	18/09/23	72659	\$90.00	01/09/23	Yes	Yes	
October	EFT48870	Chadson Engineering Pty Ltd	Servicing Palintesters	\$682.00	11/10/23	72321	\$1,280.00	09/08/23	Yes	Yes	
October	EFT48759	Bunnings Trade	Edge Barrier	\$37.04	06/10/23	73108	\$38.99	06/10/23	Yes	Yes	
October	EFT48817	Shred-X	Admin - Shredder Container Rental & Swap Over 2023/24	\$13.00	30/09/23	72786	\$864.00	12/09/23	Yes	Yes	
October	EFT48859	Blackwell Plumbing & Gas Pty Ltd	Grass Valley Fire Shed - Lower Inspection Point to Pipe Near Rear Roller Door	\$157.30	13/10/23	73157	\$250.00	09/10/23	Yes	Yes	
October	EFT48868	Cadds Fashions	Cargo Pants x3	\$286.46	28/09/23	72611	\$269.80	30/08/23	Yes	Yes	
October	EFT48945	Harcher	Lollies for pool	\$827.55	12/10/23	73194	\$1,045.12	10/10/23	Yes	Yes	
October	EFT48983	Fair Dinkum Builds	Machinery & Garden Shed, and Green House as per contract C.202021-08	\$50,000.00	19/10/23	60309	\$406,158.50	01/12/20	Yes	Yes	
October	EFT48999	Northam Towing Service	Pick up PN1213 Tractor & De	\$350.00	20/10/23	73119	\$350.00	06/10/23	Yes	Yes	
October	EFT49014	WA Flags & Banners	Flags - National Balloon Championships	\$218.00	15/10/23	73172	\$218.00	10/10/23	Yes	Yes	
			COMPLIANCE	100%							
			COMPLETED BY:	Britt Hadlow							
			SIGNED:								

7.5 Privacy and Responsible Information Sharing

File Reference:	1.4.4.14
Reporting Officer:	Britt Hadlow (Governance Coordinator)
Responsible Officer:	Debbie Terelinck (Chief Executive Officer)
Officer Declaration of Interest:	Nil
Voting Requirement:	Simple Majority
Press release to be issued:	No

BRIEF

To protect the personal information of Western Australians and facilitate responsible use and sharing of government data, the WA Government is drafting privacy and responsible information sharing (PRIS) legislation. Officers have developed an Action Plan to coordinate the PRIS readiness activities to ensure compliance when the new legislation comes into effect.

This report provides an update on the required actions and progress to date.

ATTACHMENTS

1. PRIS Action Plan - October 2023 [7.5.1 - 3 pages]

A. BACKGROUND / DETAILS

The privacy and responsible information sharing legislation will provide Western Australians with greater control over their personal information and improve the delivery of government services. This legislation will enable data to be shared within government for the right reasons and provide greater accountability and transparency about how government uses personal information.

Broadly, the legislation introduces reforms that provide:

1. guiding principles and a framework to govern the collection, protection, use and disclosure of personal information across the public sector;
2. a mandatory data breach notification scheme, requiring agencies to notify the Privacy Commissioner and affected individuals of serious data breaches involving personal information; and
3. a mechanism that supports Aboriginal data sovereignty and governance in WA, by requiring that Aboriginal people and

communities are involved or consulted when data about them is shared.

An Agency PRIS Readiness Plan and checklist has been developed to help agencies prepare for and implement the legislation. The Readiness Plan describes the approach, governance, key activities, deliverables and milestones to ensure agencies are prepared to meet both the privacy and responsible information sharing requirements of the legislation once it commences. The checklist outlines the minimum policies and processes an agency should have in place and includes the requirement to develop an agency action plan.

The Shire's Action Plan (Attachment 6.3.1) is an internal planning document, describing the approach the Shire will take to prepare for the proposed privacy and responsible information sharing reforms. It is a high-level project management document to direct and coordinate PRIS readiness activities across the organisation. Its purpose is to enable Officers to work systematically towards a defined level of capability by the time new legislation is anticipated to come into force. The Action Plan describes the results of the Shire's PRIS Readiness Assessment, and the actions required to resolve any identified gaps in PRIS readiness capabilities. It notes who is responsible for these actions and indicates due dates for completion.

The anticipated timeframe for agencies to complete the checklist is 20-months (from April 2023 to December 2024). It is anticipated that the 31 December 2024 will see the commencement of the legislation.

B. CONSIDERATIONS

B.1 Strategic Community / Corporate Business Plan

Performance Area: Performance.

Outcome 12: Excellence in organisational performance and customer service.

Objective 12.1: Maintain a high standard of corporate governance and financial management.

Priority Action: Nil.

B.2 Financial / Resource Implications

Staffing resources are required in order to action the recommendations detailed within the PRIS Action Plan.

B.3 Legislative Compliance

Privacy and Responsible Information Sharing (PRIS) reforms.

B.4 Policy Implications

Nil.

B.5 Stakeholder Engagement / Consultation

Nil.

B.6 Risk Implications

Refer to Risk Matrix [here](#).

Risk Category	Description	Rating (likelihood x consequence)	Mitigation Action
Financial	N/A		
Health & Safety	N/A		
Reputation	N/A		
Service Interruption	N/A		
Compliance	Non-compliance with PRIS reforms.	Possible (3) x Medium (3) = Moderate (9)	Implement agency Action Plan with regular monitoring and reporting undertaken to the Audit and Risk Management Committee.
Property	N/A		
Environment	N/A		

B.7 Natural Environment Considerations

Nil.

C. OFFICER'S COMMENT

Officers have developed the Action Plan which is provided in attachment 6.4.1. Progress has commenced towards the required actions within the specified timeframes.

Key to table:

Completed

No Action

Underway

RECOMMENDATION

That the Audit and Risk Management Committee endorses the following recommendation being presented to Council:

- 1. That Council receive the October 2023 update as provided in Attachment 6.3.1 in relation to the progress made towards the Privacy and Responsible Information Sharing (PRIS) Action Plan.**

PRIS Action Plan

Readiness Plan Reference No.	Action Item.	Target	Target Completion Date	Responsible Officer	Progress To Date	Status	Completion Date
4.1	Designate PRIS Champions	The designated PRIS Champion(s) have attended sector wide PRIS awareness sessions and briefings. The PRIS Champion(s) consistently promotes a culture that values the protection of personal information, supports safe and responsible information sharing practices, and encourages integration of PRIS requirements with broader business processes.	30/04/23	Alysha McCall	Governance Coordinator designated as PRIS Champion. Briefing session held on 19 June 2023.	Completed	20/06/23
5.3	Complete PRIS Action Plan	The agency PRIS Action Plan is completed and approved by the responsible senior officer.	30/06/23	Alysha McCall, Jason Whiteaker	PRIS Readiness Assessment Tool completed and this plan has been developed based on this assessment. Approved by CEO and to be reported to Audit & Risk Management Committee quarterly.	Completed	04/07/23
4.3	Map PRIS to Agency Values	The agency has produced a document (e.g., fact sheet or intranet page) for use in staff training or inclusion in a policy, emphasising the connection between PRIS and the agency's corporate values, promoting a culture of respect for the personal information and privacy of individuals with whom the agency engages, and a commitment to responsible information sharing practices. This connection is understood by staff.	31/08/23	Alysha McCall	1/9/2023 Has been posted on staff intranet and included in staff inductions.	Completed	01/09/23
4.4	Designate PRIS Officers	A Privacy Officer and Information Sharing Officer have been formally designated. The Officer(s) may be primarily compliance-focused and have some practices, procedures and systems in place, but these are generally siloed from broader organisational frameworks. Some staff are aware of the Privacy Officer and Information Sharing Officer.	31/08/23	Alysha McCall	Reviewing role against current positions. Likely appointments to be Governance Coordinator, Governance Officer and Senior Records Officer. Clarified with Department of Premier Cabinet in relation to whether CEO can make appointment or if Council resolution is required. 1/9/2023 Governance Coordinator and Governance Officer have been appointed.	Completed	01/09/23
3.4	Attend PRIS Awareness Sessions	The designated Privacy Officer and Information Sharing Officer – and any other key staff from the Agency – have attended all relevant sector wide PRIS awareness sessions and briefings conducted to date.	31/10/23	Britt Hadlow, Kunal Sarma, Tamika Van Beek	2/10/2023 - Training for PRIS scheduled for 31 October 2023. Designated staff to attend. 31/10/2023 - Relevant officers from Governance, IT & HR attended webinar.	Completed	31/10/23
8.2	Conduct a Survey of Information Holdings	The agency has identified high risk and/or high value areas of its business, the information and systems that support these business areas. A survey of information holdings has been completed for privacy and responsible information sharing requirements across these business areas.	31/12/23	Britt Hadlow, Kunal Sarma	May 2023 - Baseline readiness report was sent to councils. PRIS champions are to be nominated from council. PRIS Readiness Assessment - 18 questions in checklist to fill in, submit progress assessment report#1 between Nov 10 - 17. Need to ensure PRIS Champion can access the dedicated team's site. Need to complete the PRIS readiness assessment - check baseline/progress.	No Action	
8.3	Establish an information Asset Register	The agency has identified high risk and/or high value areas of its business, the information and systems that support these business areas. The IAR documents privacy and responsible information sharing requirements across these business areas. The IAR records the general categories of personal information that are collected, used and disclosed by the agency. It describes the purposes for which the information is collected and how it is stored (such as whether it is stored offshore, with a cloud service provider or other third party).	31/12/23	Britt Hadlow		No Action	
8.4	Review Agency Legislation	The agency has completed an analysis of priority legislation to identify specific interactions with PRIS provisions or PRIS readiness activities. Activities to address these interactions have been completed or captured in the agency's PRIS Action Plan; or they have been brought to the attention of the PRIS Implementation Steering Committee for discussion.	29/02/24	Britt Hadlow		No Action	

Readiness Plan Reference No.	Action Item.	Target	Target Completion Date	Responsible Officer	Progress To Date	Status	Completion Date
9.1	Publish a Privacy Policy	A Privacy Policy is readily available to the public. The Policy is compliance-focused, and provides the information required by law. Staff have been made aware of the Policy.	31/03/24	Britt Hadlow		No Action	
10.1	Publish a Data Breach Policy	A Data Breach Policy is readily available to the public. The Policy is compliance-focused, and provides the information required by law. It covers all parts of the organisation. Staff have been made aware of the Policy.	31/03/24	Britt Hadlow		No Action	
10.2	Establish a Register of Data Breaches	A Data Breach Register has been established, which records the following information: (a) the type of breach – whether personal information was involved, whether the data was subject to an information sharing agreement, how the breach was assessed; (b) who was notified of the breach; (c) when the breach was notified; (d) details of actions taken to prevent future breaches; and (e) the estimated cost of the breach. All identified data breaches are recorded in the register, including: •data breaches involving personal information; •data breaches involving non-personal information; •data breaches assessed as "eligible" or "notifiable," and •data breaches that are not considered "eligible" or "notifiable" – and how this was assessed.	30/04/24	Britt Hadlow		No Action	
9.2	Publish Collection Notices	Privacy notices are provided where personal information is collected. Notices are compliance-focused, providing the information required by law. Privacy messaging is viewed neutrally as a legal requirement.	30/06/24	Britt Hadlow, Tamika Van Beek		No Action	
8.5	Publish a Privacy Management Plan	The agency has a Privacy Management Plan in place and some staff are aware of it. The Privacy Management Plan includes measures for addressing any known privacy compliance gaps.	31/08/24	Britt Hadlow		No Action	
10.3	Publish a Data Breach Response Plan	A basic Data Breach Response Plan is in place that reflects the recommended steps (Contain, Assess, Notify, Prevent). Staff are generally aware of how to recognise a data breach and are likely to speak up about breaches. Decision making in breach response is largely reliant on the Privacy Officer.	31/08/24	Britt Hadlow		No Action	
8.6	Review Agency Contracts	New or updated contracts include a confidentiality clause and standard privacy terms. The agency has established a clear and documented process to assess third party privacy policies, practices or systems. It is applied consistently where a third party may have access to personal information. Third parties are only engaged if their privacy practices are equivalent to the agency's, or any gaps are mitigated by contractual controls.	30/09/24	Britt Hadlow, Kristy Hopkins		No Action	
8.7	Review Retention and Disposal Requirements	The agency has completed an analysis of priority retention and disposal arrangements to identify specific interactions with PRIS provisions or PRIS readiness activities. Activities to address these interactions have been addressed or captured in the agency's PRIS Action Plan; or they have been brought to the attention of the PRIS Implementation Steering Committee for discussion.	30/09/24	Britt Hadlow, Marlene Plews, Tamika Van Beek		No Action	
9.3	Establish procedure for handling and tracking complaints about privacy or responsible information sharing	The agency has established procedures for responding to complaints about privacy or responsible information sharing. Key staff are able to identify and manage a complaint. There is a general channel for the public to engage with the agency and this can be used for complaints (e.g., Contact us webform). Management of complaints is reliant on the Privacy Officer or Information Sharing Officer.	31/10/24	Britt Hadlow		No Action	

Readiness Plan Reference No.	Action Item.	Target	Target Completion Date	Responsible Officer	Progress To Date	Status	Completion Date
9.4	Establish procedure for individual requests for access to, and correction of, personal information	The agency has established a procedure for responding to individual requests for access to, and correction of, personal information where it is determined to be lawful and appropriate. Key staff are aware of the procedures. Decision making for responses is largely reliant on the Privacy Officer. Request handling and response is compliance focused. Response timeframes may be exceeded, due to resource constraints or limited understanding of information holdings.	31/10/24	Britt Hadlow		No Action	
9.5	Establish procedure for handling and tracking information sharing requests and data holding requests	The agency has established procedures for responding to information sharing requests and data holdings requests, according to legal requirements. Key staff are aware of the procedures. Decision making for responses is largely reliant on the Information Sharing Officer.	31/10/24	Britt Hadlow		No Action	
10.4	Establish a procedure for data breach notification and reporting	Procedures for Data Breach Notification have been established. Clear processes are in place to evaluate breaches and assess whether notification is necessary or desirable, with a primary focus on compliance-risks to the agency. Determining whether to notify is driven by the Privacy Officer. Data breach notification occurs where required by law.	31/10/24	Britt Hadlow		No Action	
12.2	Establish a procedure for conducting Privacy Impact Assessments	PIA process is established but it is only used for high privacy-risk projects. Privacy issues which do not meet the high privacy risk threshold are rarely considered. Where PIAs are completed, they are run by privacy or risk staff and may not be integrated into wider agency change management or project management processes.	31/10/24	Britt Hadlow		No Action	
4.5 & 4.6	Deliver Internal Staff Training	A training program is established. All customer-facing staff have been trained and are aware of key PRIS requirements relevant to their role and function. All new staff are being trained at induction. Training is compliance-focused and targets specific legal obligations. Staff completion rates and understanding of privacy are monitored.	30/11/24	Britt Hadlow, Jan Byers		No Action	
12.4	Establish Monitoring and Reporting	Monitoring and reporting processes are established. Compliance with regulatory obligations is documented, including keeping records on privacy and responsible information sharing activities. Roles and accountabilities for compliance and senior oversight are documented and well understood across the organisation. Thresholds for escalation of risks, issues, incidents and complaints are defined. Reporting lines are clear and senior management is routinely informed about the performance of PRIS activities.	31/12/24	Britt Hadlow		No Action	

7.6 Risk Register

File Reference:	8.2.7.1
Reporting Officer:	Britt Hadlow (Governance Coordinator)
Responsible Officer:	Debbie Terelinck (Chief Executive Officer)
Officer Declaration of Interest:	Nil
Voting Requirement:	Simple Majority
Press release to be issued:	No

BRIEF

To provide information pertaining to the organisational risk register.

ATTACHMENTS

1. Risk Register [7.6.1 - 35 pages]

A. BACKGROUND / DETAILS

The Shire of Northam has an organisation-wide risk register that has been developed over a period of time. Council has been advised previously that the management of risk is an area which has been under-developed within the organisation and an area which was receiving a focus to ensure Council is aware of the identified risks and treatments strategies in place.

To assist in the effective management of risk the Shire is using the Promapp system, which allows for recording of organisational risks and the tracking of the associated treatment actions.

B. CONSIDERATIONS

B.1 Strategic Community / Corporate Business Plan

Performance Area: Performance, Outcome 12: Excellence in organisational performance and customer service.

Objective 12.1: Maintain a high standard of corporate governance and financial management.

Priority Action 12.1.4: Provide internal auditing capabilities (including providing additional human or financial resources) and publish findings annually.

B.2 Financial / Resource Implications

Council allocates \$27,000 per annum for the Promapp system. Promapp is used for process mapping, risk management and WHS management.

B.3 Legislative Compliance

AS/NZS ISO 31000:2018.

B.4 Policy Implications

Policy G1.11 – Risk Management.

B.5 Stakeholder Engagement / Consultation

Council was involved in the development and endorsement of the Risk Management Policy and associated Plan.

B.6 Risk Implications

Refer to Risk Matrix [here](#).

Risk Category	Description	Rating (likelihood x consequence)	Mitigation Action
Financial	N/A		
Health & Safety	N/A		
Reputation	Negative community perception due to lack of adequate risk management practices within the Shire of Northam	Minor(2) x Possible(3) = Moderate(6)	Per recommendation within this report
Service Interruption	N/A		
Compliance	Non-compliance of Australian Standards and legislation due to lack of risk management practices.	Minor(2) x Possible(3) = Moderate(6)	Per recommendation within this report
Property	N/A		
Environment	N/A		

B.7 Natural Environment Considerations

Nil.

C. OFFICER'S COMMENT

Amendments have made to the Risk Register as there was no consistency with regards to the "risk owners" and "risk sign offs". Executive Managers are now



the only staff who are able to be a “risk owner”. Executive Managers are responsible for the delegation of staff responsible to “sign off” on the mitigation activities within their departments.

This ensures the Executive Manager is aware of the mitigation activity deadlines within their department, and ensures staff remain accountable for their delegated “sign offs”.

As part of the Risk Management Policy Council has established two main performance indicators being:

1. % of high or extreme risks without mitigation / treatment strategies in place.

Currently all high or extreme risks have mitigation/treatment strategies.

2. % of risk mitigation / treatment strategies overdue

There are currently 164 risk mitigation/treatment strategies, of which 5 are overdue/non-compliant (which equates to 3.04%) as at 29 November 2023 as outlined below:

- MC00012: Non-compliant – Undertake community surveying every two years focusing on community perception of service delivery.

Comment: Data collection carried out in September by CATALYSE, final presentations to Council and Executive in December.

- MC00029: Overdue – Run annual emergency management exercise.

Comment: Scheduled at next LEMC meeting in December 2023.

- MC00031: Overdue – Fuel Loads risk register in place.

Comment: Task falls under the Bush Fire Risk Management Coordinator which has been vacant due to a resignation. This task will be assigned to the new Coordinator when they commence in early December.

- MC00033: Biennial Customer Satisfaction & Community Needs Survey

Comment: Recommendation to remove this treatment as it is a duplicate of MC00012.

- MC00045: Overdue – Senior Management Meeting (where the OSH system is reviewed and KPI's are measured as an agenda item)

Comment: Officers are recommending to remove this risk from the register. Refer to Agenda Item 6.6.

RECOMMENDATION

That the Audit and Risk Management Committee endorses the following recommendations being presented to Council:

- 1. That Council receives the December 2023 Shire of Northam Risk Register update.**
- 2. That Council requests the Chief Executive Officer to remove the following risk treatment from the Risk Register due to being a duplicate of risk treatment MC00012:**
 - a. MC00033: Biennial Customer Satisfaction & Community Needs Survey.**



Risk Register

RESIDUAL 15.0 EXTREME	GENERAL, HEALTH & SAFETY - PUBLIC River Water Quality Risk of public swimming in river during times of poor river quality and becoming unwell.	TREATMENT MC00124 Manage River Water Sampling - Prepare items required items to conduct sampling Ensure river sampling is conducted and results assessed. Ensure communication and signage is adequate with community.	CHANGE(S) PENDING SIGNOFF(S): Susan Burley DUE DATE: 01 Feb 2024 FREQUENCY: 1st day of every 12 months
	OWNER Chadd Hunt CREATED 2/20/2023 12:18:55 PM LIKELIHOOD Possible SEVERITY Extreme CONTROL EFFECTIVENESS Deficiencies		
INHERENT 15.0			
R00059			

RESIDUAL 12.0 EXTREME	GENERAL, HEALTH & SAFETY - PUBLIC Re-use water quality Ensure re-use water quality meets Department of Health licensing requirements.	TREATMENT MC00125 Manage Reclaimed Water Sampling - Receive results Ensure procedures are followed for sampling.	CHANGE(S) PENDING SIGNOFF(S): Gordon Tester Neil Travers Paul Todd George Johnson Sean Cope Keith Boase Susan Burley DUE DATE: 01 Feb 2024 FREQUENCY: 1st day of every 12 months
	OWNER Chadd Hunt CREATED 2/20/2023 12:23:15 PM LIKELIHOOD Possible SEVERITY Major CONTROL EFFECTIVENESS Deficiencies		
INHERENT 12.0			
R00060			

RESIDUAL 9.6 HIGH	DEVELOPMENT SERVICES, ENVIRONMENTAL - NATURAL Inadequate control of invasive flora species on Shire of Northam controlled land	TREATMENT MC00128 Develop annual spraying program for Shire of Northam land	SIGNOFF(S): Jennifer Abbott Jacky Jurmann
	OWNER Chadd Hunt CREATED 5/29/2023 4:32:00 PM LIKELIHOOD Possible SEVERITY Major CONTROL EFFECTIVENESS Adequate	TREATMENT MC00129 Engage contractors to undertake spraying in identified areas	DUE DATE: 31 Aug 2024 FREQUENCY: The last Day of every 12 months
INHERENT 12.0			SIGNOFF(S): Jennifer Abbott Jacky Jurmann
R00062			DUE DATE: 30 Sep 2024 FREQUENCY: The last Weekday of every 12 months

RESIDUAL
9.6
 HIGH

INHERENT
12.0

R00064

DEVELOPMENT SERVICES, HEALTH & SAFETY - BUSHFIRE VOLUNTEERS

Farmer Response

Risk associated with farmers turning out to fires

OWNER Chadd Hunt

CREATED 7/21/2023 1:47:37 PM

LIKELIHOOD Possible

SEVERITY Major

CONTROL EFFECTIVENESS Adequate

TREATMENT MC00133

Marketing to encourage farmers to have protective clothing in their vehicles in case of a fire emergency. Social media campaign to be developed to commence September annually in the lead up to fire season

SIGNOFF(S): Alex Espey
 Jacky Jurmann
 DUE DATE: 25 Aug 2024
 FREQUENCY: 25th day of every 12 months

TREATMENT MC00134

Provide Shire of Northam Fire appliance with one spare set of PPE. (confirm with brigade captains)

SIGNOFF(S): Alex Espey
 Jacky Jurmann
 DUE DATE: 30 Aug 2024
 FREQUENCY: 30th day of every 12 months

TREATMENT MC00135

Memo to Leadership Team and FCO's reminding them of importance of effective coordination on active fire grounds by ensuring fire control officers and brigade members are aware of importance of the sector commander or incident controller recording private fire units and of sectorising fires early,

SIGNOFF(S): Alex Espey
 Jacky Jurmann
 DUE DATE: 29 Sep 2024
 FREQUENCY: 29th day of every 12 months

Provide a mechanism for farmers to have private units certified / approved for use on fire ground, whether that be through provision of pre-season checks or requirement to self certify as part of response sticker application process

SIGNOFF(S): Alex Espey
 Jacky Jurmann
 DUE DATE: 30 Aug 2024
 FREQUENCY: 30th day of every 12 months

TREATMENT MC00137

Encourage young people (farmers) to become members of bushfire brigades through annual social media campaign

SIGNOFF(S): Alex Espey
 Jacky Jurmann
 Ian Kieley
 DUE DATE: 29 Sep 2024
 FREQUENCY: 29th day of every 12 months

TREATMENT MC00138

Investigate potential incentives to attract volunteers

SIGNOFF(S): Alex Espey
 Jacky Jurmann
 DUE DATE:
 FREQUENCY: Once

TREATMENT MC00139

Undertake monthly workplace inspections of fire stations undertaken by Brigade captains of another appropriate brigade member

SIGNOFF(S): Alex Espey
 DUE DATE: 23 Dec 2023
 FREQUENCY: 23rd day of every 2 months

RESIDUAL
9.6
 HIGH

INHERENT
12.0

R00065

DEVELOPMENT SERVICES, HEALTH & SAFETY - BUSHFIRE VOLUNTEERS

Fire Station, Appliances & Equipment
 Ensure our volunteers have access to adequate / appropriate and safe buildings, appliances and equipment

OWNER Chadd Hunt
 CREATED 7/21/2023 2:10:25 PM
 LIKELIHOOD Possible
 SEVERITY Major
 CONTROL EFFECTIVENESS Adequate

TREATMENT MC00140 Pre-season safety inspection of fire stations	SIGNOFF(S): DUE DATE: FREQUENCY:	Alex Espey Joanne Griffiths 30 Sep 2024 The last Day of every 12 months
TREATMENT MC00141 Provide manual handling training / refreshers to all volunteers. May be in person or provision of online refresher opportunity	SIGNOFF(S): DUE DATE: FREQUENCY:	Alex Espey 17 Oct 2024 17th day of every 12 months
TREATMENT MC00142 Ensure weekly inspections of fire appliance is being undertaken during fire season	SIGNOFF(S): DUE DATE: FREQUENCY:	Alex Espey 01 Dec 2023 The first Day of every month
TREATMENT MC00143 Undertake Preseason Check of all appliances by qualified mechanic	SIGNOFF(S): DUE DATE: FREQUENCY:	Alex Espey Jacky Jurmann 18 Jan 2024 18th day of every month
TREATMENT MC00144 Provide vehicle report forms to all brigades to ensure damage or maintenance requirements are being identified	SIGNOFF(S): DUE DATE: FREQUENCY:	Alex Espey 31 Mar 2024 The last Day of every 6 months
TREATMENT MC00145 Provide access to off-road training to all volunteers	SIGNOFF(S): DUE DATE: FREQUENCY:	Alex Espey 30 Sep 2024 The last Day of every 12 months
TREATMENT MC00146 Memo to all brigade members in relation to requirement for bushfire appliance operators to obey road rules when on public roads at all times, unless an exemption is provided due to driver having undertaken necessary training	SIGNOFF(S): DUE DATE: FREQUENCY:	Alex Espey 30 Sep 2024 The last Day of every 12 months
TREATMENT MC00147 Provide washing machines at all Fire Stations and encourage / recommend that all PPE be washed on site	SIGNOFF(S): DUE DATE: FREQUENCY:	Alex Espey 30 Sep 2024 The last Day of every 12 months

RESIDUAL
9.6
 HIGH

INHERENT
12.0

R00066

DEVELOPMENT SERVICES, HEALTH & SAFETY - BUSHFIRE VOLUNTEERS

Volunteer Training

Inadequate volunteer training could result in injury or death on fire ground

OWNER Chadd Hunt

CREATED 7/21/2023 2:44:26 PM

LIKELIHOOD Possible

SEVERITY Major

CONTROL EFFECTIVENESS Adequate

TREATMENT MC00148

Provide 2 sets of PPE to all active brigade members on their request.

SIGNOFF(S): Alex Espey

DUE DATE: 01 Oct 2024

FREQUENCY: The first Day of every 12 months

TREATMENT MC00149

Ensure minimum training standards for bushfire volunteers, including the leadership team, are endorsed by Council

SIGNOFF(S): Alex Espey

DUE DATE: 20 Aug 2025

FREQUENCY: The third Wednesday of every 24 months

TREATMENT MC00151

Have standard operating procedures in place

SIGNOFF(S): Alex Espey

DUE DATE: 30 Sep 2024

FREQUENCY: The last Day of every 12 months

TREATMENT MC00152

Ensure adequate training assessors are approved by DFES for the Shire of Northam

SIGNOFF(S): Alex Espey

DUE DATE: 31 Jul 2024

FREQUENCY: The last Day of every 12 months

TREATMENT MC00153

Provide volunteers with access to flexible training arrangements, with a particular focus on weeknight training to suit volunteers

SIGNOFF(S): Alex Espey

DUE DATE: 01 Aug 2024

FREQUENCY: The first Day of every 12 months

TREATMENT MC00154

Require minimum training before a volunteer can be active on the fire ground (utilising DFES guidelines) - reminder to be sent to all captains and volunteers

SIGNOFF(S): Alex Espey

DUE DATE: 30 Sep 2024

FREQUENCY: The last Day of every 12 months

TREATMENT MC00155

All volunteers to be required to undertake pre-season competency based training / annual induction prior to start of fire season

SIGNOFF(S): Alex Espey

DUE DATE: 31 Oct 2024

FREQUENCY: The last Day of every 12 months

TREATMENT MC00157

Review training records/registers to ensure they are up to date and utilised to identify training requirements

SIGNOFF(S): Alex Espey

DUE DATE: 01 Aug 2024

FREQUENCY: The first Day of every 12 months

RESIDUAL 9.6 HIGH	AMP - BUILDINGS, SERVICE INTERRUPTION AM Service Levels not met Asset Management Plan identifies need to establish and monitor a range of service levels to ensure Council and community expectations are met	TREATMENT MC00019 Up to date and accurate building asset management plan in place	SIGNOFF(S): Paul Devcic Colin Young Shane Moorhead DUE DATE: 01 Jun 2025 FREQUENCY: The first Day of every 24 months
	INHERENT 12.0 R00040	OWNER Paul Devcic CREATED 7/16/2019 11:24:02 AM LIKELIHOOD Likely SEVERITY Medium CONTROL EFFECTIVENESS Adequate	

RESIDUAL 9.6 HIGH	CORPORATE SERVICES, SERVICE INTERRUPTION Failure of IT &/or Communications Systems and Infrastructure Instability, degradation of performance, or other failure of IT Systems, Infrastructure, Communication or Utility 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:	TREATMENT MC00047 Data Back-up Systems in place and documented	SIGNOFF(S): Colin Young DUE DATE: 30 Sep 2024 FREQUENCY: The last Day of every 12 months
	INHERENT 12.0 R00023	<ul style="list-style-type: none"> • Hardware &/or Software • IT Network • Failures of IT Vendors This also includes where poor governance results in the breakdown of IT maintenance such as; <ul style="list-style-type: none"> • Configuration management • Performance Monitoring • IT Incident, Problem Management & Disaster Recovery Processes This does not include new system implementations - refer "Inadequate Project / Change Management".	TREATMENT MC00048 Disaster Recovery Plan in place

RESIDUAL
9.6
HIGH

INHERENT
12.0

R00055

ENGINEERING SERVICES, HEALTH & SAFETY - PUBLIC, REPUTATION - COMMUNITY

Inadequate Cleaning of Shire Facilities

Shire buildings and public amenities not regularly cleaned to and acceptable standard causing the following issues:
- not regularly cleaned/sanitised, there is a chance of making people sick
- not cleaned, community and visitors not satisfied
Shire buildings and amenities may not be able to open to public or operate if not cleaned appropriately
Paying too much for cleaning services is also a financial risk.

OWNER Paul Devcic
CREATED 12/2/2020 11:11:13 AM
LIKELIHOOD Likely
SEVERITY Medium
CONTROL EFFECTIVENESS Adequate

TREATMENT MC00109

Manage public tenders (RFT) for purchases over \$250,000 Excl. GST - Prepare Tender
Conduct a public tender as per the Manage Tenders Process and in line with the Shire's Procurement Policy F4.2

TREATMENT MC00110

Have a contract in place for regular cleaning schedule in place in accordance with best cleaning practices
Monthly inspection of toilets to be undertaken by Council staff

CHANGE(S) PENDING

SIGNOFF(S): Colin Young
Kristy Hopkins

DUE DATE:

FREQUENCY: Once

SIGNOFF(S): Shane Moorhead

DUE DATE: 01 Jul 2024

FREQUENCY: The first Day of every 12 months

RESIDUAL
7.5
 MODERATE

INHERENT
25.0

R00004

CORPORATE SERVICES, STRATEGIC - ORGANISATIONAL

Inadequate Insurance
 Organisation is exposed to financial loss due to failure to renew public indemnity insurance or renew it with adequate cover

OWNER Colin Young
 CREATED 5/6/2019 1:42:09 PM

LIKELIHOOD Almost Certain
 SEVERITY Extreme
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00061
 Insurance coverage reviewed internally prior to presenting to Chief Executive Officer for sign off

SIGNOFF(S): Colin Young
 DUE DATE: 01 Jul 2024
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00062
 Insurance coverage assessed independently for adequacy

SIGNOFF(S): Colin Young
 DUE DATE: 01 May 2024
 FREQUENCY: The first Day of every 48 months

TREATMENT MC00097
 Review of past 5 year Insurance performance (comparing premium contributions against claims). May result in assessing a range of factors including current level of cover, excesses and structure of workers compensation premium for example:

- Retention (deductible and excess) Review – assess what amount the Shire is able to retain for each applicable policy (please note LGIS Workers Compensation and Public Liability policies have Nil excess)
- Explore the options of moving from a fixed based Workers Compensation policy to Performance based policy. Whilst this could reduce up-front costs, poor performance does impact overall costs, due to a higher maximum rate.
- Overall Property Asset review – item by item, identify what the Shire would replace and what would not be replaced and amend sums insured accordingly. For example no intention of replacing an asset in the event of a total loss, you can choose to reduce the sum insured to an indemnity basis rather than re-in statement. Partial losses will need to be a consideration in this exercise.
- Policy Limits review against maximum fore see able losses. (this can be undertaken on the Brokered policies outside of the mutual policies).

SIGNOFF(S): Colin Young
 Debbie Terelinck
 DUE DATE: 31 May 2024
 FREQUENCY: The last Day of every 36 months

RESIDUAL
7.5
 MODERATE

INHERENT
25.0

R00011

CORPORATE SERVICES, COMPLIANCE - LEGISLATIVE, FINANCIAL - OPERATIONAL

Inadequate procurement / tender process
 Council fails to meet legislative obligations, Council policy and Council delegations relating to procurement resulting in departmental investigation, potential disciplinary action, poor financial outcomes and reputation damage.

OWNER Colin Young
 CREATED 5/7/2019 10:29:20 AM
 LIKELIHOOD Almost Certain
 SEVERITY Extreme
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00008
 Manage Procurement - Identify need for procurement
 Establish and comply with a purchasing policy.

CHANGE(S) PENDING
 SIGNOFF(S): Colin Young
 Kristy Hopkins
 DUE DATE: 01 May 2025
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00009
 Monthly random internal audit of five (5) purchases to be performed to ensure compliance with purchasing requirements.

SIGNOFF(S): Britt Hadlow
 DUE DATE: 14 Dec 2023
 FREQUENCY: 14th day of every month

TREATMENT MC00010
 Ensure the delegated authority register is up to date for tenders and purchases through E-Quotes.

SIGNOFF(S): Britt Hadlow
 DUE DATE: 14 Dec 2023
 FREQUENCY: 14th day of every month

TREATMENT MC00112
 Review Procurement Policy.

SIGNOFF(S): Kristy Hopkins
 Colin Young
 DUE DATE: 01 Oct 2024
 FREQUENCY: 1st day of every 12 months

RESIDUAL
7.2
 MODERATE

INHERENT
9.0

R00015

CHIEF EXECUTIVES OFFICE, COMPLIANCE - LEGISLATIVE, SERVICE INTERRUPTION

Records Management
 Important information unable to be found and legislative requirements not met as a result of inadequate records management plans and practices

OWNER Debbie Terelinck
 CREATED 5/24/2019 2:58:42 PM
 LIKELIHOOD Possible
 SEVERITY Medium
 CONTROL EFFECTIVENESS Adequate

TREATMENT MC00023
 Manage Records - File record
 Process which explains how to register all records incoming and outgoing

CHANGE(S) PENDING
 SIGNOFF(S): Britt Hadlow
 DUE DATE: 01 Jul 2024
 FREQUENCY: 1st day of every 12 months

TREATMENT MC00024
 Current Records Management Plan in place

SIGNOFF(S): Britt Hadlow
 DUE DATE: 01 May 2024
 FREQUENCY: The first Day of every 48 months

TREATMENT MC00025
 Manage Document Control - Identify Document Need
 Have an effective document control system in place

SIGNOFF(S): Britt Hadlow
 DUE DATE: 01 May 2024
 FREQUENCY: The first Day of every 12 months

RESIDUAL 7.2 MODERATE	CHIEF EXECUTIVES OFFICE, REPUTATION - COMMUNITY	TREATMENT MC00032	SIGNOFF(S):	Debbie Terelinck
	INHERENT 9.0	<p>Inadequate engagement with Community / Stakeholders / Elected Members</p> <p>Failure to maintain effective working relationships with the Community (including Local Media), Stakeholders, Key Private Sector Companies, Government Agencies and / or Elected Members. This invariably includes activities where communication, feedback and / or consultation is required and where it is in the best interests to do so.</p> <p>OWNER Debbie Terelinck CREATED 6/19/2019 9:07:22 AM</p> <p>LIKELIHOOD Possible SEVERITY Medium CONTROL EFFECTIVENESS Adequate</p>	Current Community Engagement Plan in Place	DUE DATE:
R00018		TREATMENT MC00033	FREQUENCY:	The first Day of every 112 months
		Biennial Customer Satisfaction & Community Needs Survey	OVERDUE SIGNOFF(S):	Debbie Terelinck
			DUE DATE:	01 Sep 2023
			FREQUENCY:	The first Day of every 24 months

RESIDUAL 7.2 MODERATE	DEVELOPMENT SERVICES, ENVIRONMENTAL - NATURAL	TREATMENT MC00127	SIGNOFF(S):	Jacky Jurmann
	INHERENT 9.0	<p>Contaminated property being used inappropriately</p> <p>OWNER Chadd Hunt CREATED 5/29/2023 4:28:26 PM</p> <p>LIKELIHOOD Possible SEVERITY Medium CONTROL EFFECTIVENESS Adequate</p>	Ensure contaminated sites register is maintained and up to date	DUE DATE:
R00061			FREQUENCY:	30th day of every 12 months

<p>RESIDUAL 6.4 MODERATE</p> <p>INHERENT 8.0</p> <p>R00063</p>	<p>DEVELOPMENT SERVICES, ENVIRONMENTAL - NATURAL</p> <p>Inefficient use of water in/on Shire of Northam assets</p> <p>OWNER Chadd Hunt CREATED 5/29/2023 4:37:13 PM</p> <p>LIKELIHOOD Likely SEVERITY Minor CONTROL EFFECTIVENESS Adequate</p>	<p>TREATMENT MC00130</p> <p>Establish internal Waterwise group to identify water saving opportunities</p>	<p>SIGNOFF(S): Jennifer Abbott Jacky Jurmann</p> <p>DUE DATE: 29 Feb 2024</p> <p>FREQUENCY: The last Weekday of every 3 months</p>
		<p>TREATMENT MC00131</p> <p>Review water usage to identify high use facilities and identify saving opportunities</p>	<p>SIGNOFF(S): Jennifer Abbott Jacky Jurmann</p> <p>DUE DATE: 29 Mar 2024</p> <p>FREQUENCY: The last Weekday of every 12 months</p>
		<p>TREATMENT MC00132</p> <p>Undertake water balance study to identify opportunities for greater utilisation of treated wastewater on Shire of Northam assets</p>	<p>SIGNOFF(S): Gordon Tester Keith Boase Jacky Jurmann Paul Devcic</p> <p>DUE DATE:</p> <p>FREQUENCY: Once</p>

RESIDUAL
6.0
 MODERATE

INHERENT
20.0

R00021

CORPORATE SERVICES, FINANCIAL - OPERATIONAL, FINANCIAL - STRATEGIC

Inadequate Financial, Accounting or Business Acumen

Inadequate identification or quantification of financial exposure or risk associated with decisions to invest in land transactions, financial derivatives or investments or poor long term forecasting / assumptions. Examples include;

- Poor credit management (short or long term borrowing restricting capacity or flexibility).
- Ineffective market analysis (over or under estimating).
- Ineffective Business Planning (poor scope / competition analysis).
- Ineffective financial modelling, forecasting and projection techniques / processes.

OWNER Colin Young
 CREATED 7/1/2019 2:34:50 PM

LIKELIHOOD Likely
 SEVERITY Extreme
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00034
 Long Term Financial Plan in Place

SIGNOFF(S): Colin Young
 DUE DATE: 01 Jul 2024
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00035
 Annual Budget adopted and aligned with long term financial plan

SIGNOFF(S): Colin Young
 DUE DATE: 31 Jul 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00036
 Investment strategy / policy in place

SIGNOFF(S): Colin Young
 DUE DATE: 01 Jul 2024
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00037
 Manage Debtors - Identify Debtor Process to manage general debtors

CHANGE(S) PENDING
 SIGNOFF(S): Colin Young
 Kristy Hopkins
 DUE DATE: 01 Jul 2024
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00038
 Arrange payment plans for Rates - Setup payment arrangement with Rate payer Process which ensures rate debts are collected / managed effectively

SIGNOFF(S): Colin Young
 Michelle Gaasdalen
 DUE DATE:
 FREQUENCY: Once

TREATMENT MC00039
 Develop Annual Budgets - Send Email Ensure budget process is managed effectively

CHANGE(S) PENDING
 SIGNOFF(S): Colin Young
 Kristy Hopkins
 DUE DATE: 29 Feb 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00040
 Manage Rates Recovery - Confirm rates outstanding Manage recovery of rated

CHANGE(S) PENDING
 SIGNOFF(S): Michelle Gaasdalen
 DUE DATE: 01 Jul 2024
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00114
 Undertake a financial review every 3 years

SIGNOFF(S): Colin Young
 DUE DATE: 01 Jan 2025
 FREQUENCY: The first Day of every 36 months

RESIDUAL
6.0
 MODERATE

INHERENT
20.0

R00032

DEVELOPMENT SERVICES, HEALTH & SAFETY

Inadequate Organisation and Community Emergency Management

Failure to adequately conduct Prevention, Preparation, Response and Recovery (PPRR) in the organisation structure and community elements, inclusive of the management of all emergencies. This includes;

- Lack of (or inadequate) emergency response plans.
- Lack of training to 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

(References: AS 3745; AS 1851; AIIMS 4 Management Principles)

OWNER Chadd Hunt

CREATED 7/2/2019 1:42:30 PM

LIKELIHOOD Likely

SEVERITY Extreme

CONTROL EFFECTIVENESS Strong

TREATMENT MC00077

Functioning Local Emergency Management Committee, which meets quarterly

SIGNOFF(S):

Alex Espey
 Jacky Jurmann

DUE DATE:

31 Jan 2024

FREQUENCY:

The last Day of every 3 months

TREATMENT MC00078

Conduct at least 1 Emergency Management training exercise per year

SIGNOFF(S):

Alex Espey
 Jacky Jurmann

DUE DATE:

30 Sep 2024

FREQUENCY:

The last Day of every 12 months

TREATMENT MC00079

Conduct Inductions for Bush Fire Brigade Volunteer Members Annually

SIGNOFF(S):

Alex Espey
 Jacky Jurmann

DUE DATE:

01 Oct 2024

FREQUENCY:

The first Day of every 12 months

TREATMENT MC00080

Review Risk to Resources Document

SIGNOFF(S):

Alex Espey
 Jacky Jurmann

DUE DATE:

30 Sep 2025

FREQUENCY:

The last Day of every 24 months

RESIDUAL
6.0
 MODERATE

INHERENT
20.0

R00001

CHIEF EXECUTIVES OFFICE, COMPLIANCE - LEGISLATIVE

Failure to fulfil statutory, regulatory or compliance requirements

Council is exposed to reputation damage and serious breaches due to a failure to comply with legislative and compliance requirements

OWNER Debbie Terelinck
 CREATED 4/8/2019 2:46:49 PM

LIKELIHOOD Almost Certain
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00002

Audit of monthly compliance calendar

SIGNOFF(S): Britt Hadlow
 DUE DATE: 14 Dec 2023
 FREQUENCY: 14th day of every month

TREATMENT MC00007

Manage Inductions - Conduct New Employee Induction
 All new employees are provided with adequate inductions

CHANGE(S) PENDING
 SIGNOFF(S): Janice Byers
 DUE DATE: 08 Dec 2023
 FREQUENCY: Fri every week

TREATMENT MC00009

Monthly random internal audit of five (5) purchases to be performed to ensure compliance with purchasing requirements.

SIGNOFF(S): Britt Hadlow
 DUE DATE: 14 Dec 2023
 FREQUENCY: 14th day of every month

TREATMENT MC00058

Organisational Compliance Calendar in place and reviewed by Executive Management Group

SIGNOFF(S): Britt Hadlow
 DUE DATE: 01 Mar 2024
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00059

Induction & Training provided to elected members

SIGNOFF(S): Britt Hadlow
 DUE DATE: 30 Nov 2025
 FREQUENCY: The last Day of every 24 months

TREATMENT MC00060

Complete Annual Compliance Return (Dept Local Government)

SIGNOFF(S): Britt Hadlow
 DUE DATE: 29 Feb 2024
 FREQUENCY: The last Day of every 12 months

RESIDUAL 6.0 MODERATE	DEVELOPMENT SERVICES, ENVIRONMENTAL - NATURAL	TREATMENT MC00126	SIGNOFF(S):	Jennifer Abbott Jacky Jurmann
	Shire of Northam activities result in increasing carbon emissions Council activities do not meet State & Federal emissions reduction targets.	Develop and implement a climate mitigation and adaptation plan.	DUE DATE:	30 Jun 2024
INHERENT 6.0	OWNER Chadd Hunt CREATED 2/20/2023 12:08:24 PM		FREQUENCY:	The last Day of every 12 months
R00058	LIKELIHOOD Possible SEVERITY Minor CONTROL EFFECTIVENESS Deficiencies			

RESIDUAL 4.8 MODERATE	ENGINEERING SERVICES, HEALTH & SAFETY - PUBLIC	TREATMENT MC00113	SIGNOFF(S):	Paul Devcic Keith Boase
	Unsafe Playground equipment Shire playgrounds are not to a an acceptable standard causing the following issues: - Play Equipment is unsafe, there is a chance of injuring users - Play Equipment may not be open to public if it is unsafe and require repairs - Community and visitors unsatisfied	Regular playground inspections to be completed on a monthly basis.	DUE DATE:	30 Nov 2023
INHERENT 16.0	OWNER Paul Devcic CREATED 7/5/2022 4:11:10 PM		FREQUENCY:	The last Day of every month
R00056	LIKELIHOOD Likely SEVERITY Major CONTROL EFFECTIVENESS Strong			

RESIDUAL
4.8
 MODERATE

INHERENT
16.0

R00036

AMP - TRANSPORT, HEALTH & SAFETY

Transport Assets not routinely inspected
 No formal safety & maintenance inspection procedures exist

OWNER Paul Devcic
 CREATED 7/15/2019 4:35:25 PM

LIKELIHOOD Likely
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00088

Transport Assets to be routinely inspected every 3 years (includes sealed and unsealed roads, kerbs and table drains. Excludes footpaths and piped drainage network)

TREATMENT MC00096

Safety inspections carried out in response to Customer Service Requests by members of the public and Shire staff.

SIGNOFF(S): Paul Devcic
 DUE DATE: 31 Jan 2024
 FREQUENCY: The last Day of every 36 months

SIGNOFF(S): Paul Devcic
 DUE DATE: 30 Nov 2023
 FREQUENCY: The last Day of every 3 months

RESIDUAL
4.8
 MODERATE

INHERENT
16.0

R00008

CHIEF EXECUTIVES OFFICE, REPUTATION - COMMUNITY

Not meeting community expectations
 Community service expectations are not as a result of a failure to provide expected levels of service, events and benefit to the community. This includes where precedents have set Community perceptions or where services are generally expected.

OWNER Debbie Terelinck
 CREATED 5/6/2019 1:56:25 PM

LIKELIHOOD Likely
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00004

Review Corporate Business Plan annually to ensure reflects strategic community plan

TREATMENT MC00012

Undertake community surveying every two years focusing on community perception of service delivery

TREATMENT MC00013

Manage Customer Requests - Receive Request Ensuring that the organisation captures and responds appropriately to community and internal requests for works or services

SIGNOFF(S): Debbie Terelinck
 DUE DATE: 30 Jun 2024
 FREQUENCY: The last Day of every 12 months

NON-COMPLIANT
 SIGNOFF(S): Debbie Terelinck
 DUE DATE: 31 Aug 2023
 FREQUENCY: The last Day of every 24 months

CHANGE(S) PENDING
 SIGNOFF(S): Debbie Terelinck
 Britt Hadlow
 DUE DATE:
 FREQUENCY: Once

RESIDUAL
4.8
 MODERATE

INHERENT
16.0

R00013

CORPORATE SERVICES, ENGINEERING SERVICES, ENVIRONMENTAL - BUILT, FINANCIAL - STRATEGIC, SERVICE INTERRUPTION

Inadequate Asset Management Practices

Failure or reduction in service of infrastructure assets, plant, equipment or machinery. These include fleet assets in addition to community use based assets including playgrounds, boat ramps and other maintenance based assets. Areas included in the scope are;

- Inadequate design (not fit for purpose).
- Ineffective usage (down time)
- Outputs not meeting expectations
- Inadequate maintenance activities.
- Inadequate or unsafe modifications.

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

OWNER Debbie Terelinck
 CREATED 5/24/2019 2:29:02 PM

LIKELIHOOD Likely
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00018

Up to date and accurate transport management plan in place

SIGNOFF(S): Paul Devcic
 Colin Young
 DUE DATE: 01 Feb 2025
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00019

Up to date and accurate building asset management plan in place

SIGNOFF(S): Paul Devcic
 Colin Young
 Shane Moorhead
 DUE DATE: 01 Jun 2025
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00020

Up to date and accurate parks & reserves asset management plan in place

SIGNOFF(S): Paul Devcic
 Colin Young
 DUE DATE: 01 Sep 2025
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00021

Long Term Financial Plan aligned to asset management plans

SIGNOFF(S): Colin Young
 DUE DATE: 01 Dec 2023
 FREQUENCY: The first Day of every 12 months

RESIDUAL
4.8
 MODERATE

INHERENT
16.0

R00022

CHIEF EXECUTIVES OFFICE, HEALTH & SAFETY - OCCUPATIONAL

Inadequate safety and security practices

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:

- 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 security protection measures in place for buildings, depots and other places of work (vehicle, community etc).
- Public Liability Claims, due to negligence or personal injury.
- Employee Liability Claims due to negligence or personal injury.
- Inadequate or unsafe modifications to plant & equipment

OWNER Debbie Terelinck
 CREATED 7/1/2019 2:46:30 PM

LIKELIHOOD Likely
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00041

Undertake OHS Audit

SIGNOFF(S): Janice Byers
 DUE DATE: 01 Sep 2025
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00042

Implement recommendations from OHS Audit & Report to Audit & Risk Committee

SIGNOFF(S): Janice Byers
 DUE DATE: 31 Jan 2024
 FREQUENCY: The last Day of every 4 months

TREATMENT MC00043

WHS Committee Meeting Regularly

SIGNOFF(S): Janice Byers
 Joanne Griffiths
 DUE DATE: 31 Dec 2023
 FREQUENCY: The last Day of every 3 months

TREATMENT MC00044

Toolbox meetings occurring and discussing safety (attach minutes/notes to sign off)

SIGNOFF(S): Paul Devcic
 DUE DATE: 30 Nov 2023
 FREQUENCY: The last Day of every month

TREATMENT MC00045

Senior Management Meeting (where the OSH system is reviewed and KPI's are measured as an agenda item)

OVERDUE
 SIGNOFF(S): Debbie Terelinck
 DUE DATE: 30 Sep 2023
 FREQUENCY: The last Day of every 6 months

TREATMENT MC00046

OHS Policy Framework in place and reviewed

SIGNOFF(S): Janice Byers
 DUE DATE: 31 Aug 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00095

Undertake Workplace Safety Inspections - Undertake Inspection OSH inspections undertaken for each site.

CHANGE(S) PENDING
 SIGNOFF(S): Colin Young
 Paul Devcic
 Debbie Terelinck
 DUE DATE: 30 Nov 2023
 FREQUENCY: The last Day of every month

<p>RESIDUAL 4.8 MODERATE</p> <p>INHERENT 16.0</p> <p>R00020</p>	<p>CORPORATE SERVICES, FINANCIAL - OPERATIONAL, FINANCIAL - STRATEGIC</p> <p>External Theft & Fraud (inc. Cyber Crime)</p> <p>Loss of funds, assets, data or unauthorised access, (whether attempts or successful) by external parties, through any means (including electronic), for the purposes of;</p> <ul style="list-style-type: none"> • 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 (no deceit) <p>OWNER Colin Young CREATED 7/1/2019 2:32:52 PM</p> <p>LIKELIHOOD Likely SEVERITY Major CONTROL EFFECTIVENESS Strong</p>	<p>TREATMENT MC00111</p> <p>Fraud and Corruption Control Plan in place</p>	<p>SIGNOFF(S): Britt Hadlow Debbie Terelinck</p> <p>DUE DATE: 31 Jul 2025</p> <p>FREQUENCY: The last Weekday of every 24 months</p>
	<p>TREATMENT MC00156</p> <p>Incorrect bank details for payments - 100% of system changed reported on at end of month and signed off by Senior Finance Officer.</p>	<p>SIGNOFF(S): Kudzai Matanga</p> <p>DUE DATE: 30 Nov 2023</p> <p>FREQUENCY: The last Weekday of every month</p>	
<p>RESIDUAL 4.5 MODERATE</p> <p>INHERENT 15.0</p> <p>R00017</p>	<p>DEVELOPMENT SERVICES, HEALTH & SAFETY - PUBLIC</p> <p>Inadequate Organisation and Community Emergency Management</p> <p>Failure to adequately conduct Prevention, Preparation, Response and Recovery (PPRR) in the organisation structure and community elements, inclusive of the management of all emergencies. This includes;</p> <ul style="list-style-type: none"> · Lack of (or inadequate) emergency response plans. · Lack of training to 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 <p>(References: AS 3745; AS 1851; AIIMS 4 Management Principles)</p> <p>OWNER Chadd Hunt CREATED 6/19/2019 8:51:12 AM</p> <p>LIKELIHOOD Possible SEVERITY Extreme CONTROL EFFECTIVENESS Strong</p>	<p>TREATMENT MC00027</p> <p>Establishment of a 'functional' Local Emergency Management Committee, which meets six monthly</p>	<p>SIGNOFF(S): Alex Espey</p> <p>DUE DATE: 31 Mar 2024</p> <p>FREQUENCY: The last Day of every 6 months</p>
	<p>TREATMENT MC00028</p> <p>Current Local Emergency Management Arrangements & Recovery Plan</p>	<p>SIGNOFF(S): Alex Espey Jacky Jurmann</p> <p>DUE DATE: 01 Nov 2024</p> <p>FREQUENCY: The first Day of every 24 months</p>	
	<p>TREATMENT MC00029</p> <p>Run annual emergency management exercise</p>	<p>OVERDUE</p> <p>SIGNOFF(S): Alex Espey Jacky Jurmann</p> <p>DUE DATE: 01 Nov 2023</p> <p>FREQUENCY: The first Day of every 12 months</p>	
	<p>TREATMENT MC00030</p> <p>Bush fire Risk Management Plan in Place</p>	<p>SIGNOFF(S): Alex Espey Jacky Jurmann</p> <p>DUE DATE: 01 Sep 2024</p> <p>FREQUENCY: The first Day of every 12 months</p>	
	<p>TREATMENT MC00031</p> <p>Fuel Loads risk register in place</p>	<p>OVERDUE</p> <p>SIGNOFF(S): Alex Espey Jacky Jurmann</p> <p>DUE DATE: 30 Sep 2023</p> <p>FREQUENCY: The last Day of every 12 months</p>	

RESIDUAL
3.6
LOW

INHERENT
12.0

R00002

CHIEF EXECUTIVES OFFICE, STRATEGIC - ORGANISATIONAL

Inappropriate Organisational Structure
Unable to achieve organisational objectives as the Organisation is not structured appropriately

OWNER Debbie Terelinck
 CREATED 4/9/2019 11:32:51 AM
 LIKELIHOOD Likely
 SEVERITY Medium
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00003
 Review Strategic Community Plan every two years (desktop) and four years (major). Reviews to coincide with new Council being elected

SIGNOFF(S): Debbie Terelinck
 DUE DATE: 31 Dec 2023
 FREQUENCY: The last Day of every 24 months

TREATMENT MC00004
 Review Corporate Business Plan annually to ensure reflects strategic community plan

SIGNOFF(S): Debbie Terelinck
 DUE DATE: 30 Jun 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00005
 Review Human Resource Plan to ensure it is reflective of strategic community plan

SIGNOFF(S): Janice Byers
 DUE DATE: 31 May 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00006
 Corporate Business Plan clearly articulates how organisational objectives will be achieved

SIGNOFF(S): Debbie Terelinck
 DUE DATE: 30 Jun 2024
 FREQUENCY: The last Day of every 12 months

RESIDUAL
3.6
 LOW

INHERENT
12.0

R00033

GENERAL, REPUTATION - COMMUNITY

Errors, Omissions & Delays

Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process or potentially inadequate resources. This includes instances of;

- Human errors, incorrect or incomplete processing
- Inaccurate recording, maintenance, testing and / or reconciliation of data.
- Errors or inadequacies in model methodology, design, calculation or implementation of models.

This may result in incomplete or inaccurate information. Consequences include;

- Inaccurate data being used for management decision making and reporting.
- Delays in service to customers
- Inaccurate data provided to customers

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

OWNER Debbie Terelinck
 CREATED 7/2/2019 1:56:01 PM

LIKELIHOOD Likely
 SEVERITY Medium
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00002
 Audit of monthly compliance calendar

SIGNOFF(S): Britt Hadlow
 DUE DATE: 14 Dec 2023
 FREQUENCY: 14th day of every month

TREATMENT MC00007
 Manage Inductions - Conduct New Employee Induction
 All new employees are provided with adequate inductions

CHANGE(S) PENDING
 SIGNOFF(S): Janice Byers
 DUE DATE: 08 Dec 2023
 FREQUENCY: Fri every week

TREATMENT MC00009
 Monthly random internal audit of five (5) purchases to be performed to ensure compliance with purchasing requirements.

SIGNOFF(S): Britt Hadlow
 DUE DATE: 14 Dec 2023
 FREQUENCY: 14th day of every month

TREATMENT MC00083
 Manage Inductions - Conduct New Employee Induction
 Ensure staff are inducted into the organisation

CHANGE(S) PENDING
 SIGNOFF(S): Janice Byers
 DUE DATE: 01 Oct 2024
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00084
 Have critical processes mapped to assist staff eliminate errors, omissions and delays (wastage)

SIGNOFF(S): Britt Hadlow
 DUE DATE: 01 Dec 2023
 FREQUENCY: The first Day of every 12 months

RESIDUAL
3.6
LOW

INHERENT
12.0

R00034

COMMUNITY SERVICES, COMPLIANCE - POLICY, REPUTATION - COMMUNITY

Ineffective Management of Facilities / Venues / Events

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

- Inadequate procedures in place to manage the quality or availability.
- Ineffective signage
- Booking issues
- Financial interactions with hirers / users
- Oversight / provision of peripheral services (eg. cleaning / maintenance)

OWNER David Emery

CREATED 7/2/2019 2:05:05 PM

LIKELIHOOD Likely

SEVERITY Medium

CONTROL EFFECTIVENESS Strong

TREATMENT MC00085

Manage Facilities & Bookings - Receive enquiry and determine which Department is responsible for administering the booking.
Process for managing bookings to ensure no duplication

CHANGE(S) PENDING

SIGNOFF(S): David Emery

DUE DATE: 01 Sep 2024

FREQUENCY: The first Day of every 12 months

RESIDUAL
3.6
 LOW

INHERENT
12.0

R00035

CHIEF EXECUTIVES OFFICE, COMPLIANCE - LEGISLATIVE, REPUTATION - COMMUNITY, REPUTATION - INDUSTRY

Misconduct/Fraud

Intentional activities (including fraud) in excess of authority granted to an employee, 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
- Collusion between Internal & External parties

This does not include instances where it was not an intentional breach - refer Errors, Omissions or delays in transaction processing, or Inaccurate Advice.

OWNER Debbie Terelinck
 CREATED 7/2/2019 2:09:25 PM

LIKELIHOOD Possible
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00007

Manage Inductions - Conduct New Employee Induction
 All new employees are provided with adequate inductions

CHANGE(S) PENDING

SIGNOFF(S): Janice Byers
 DUE DATE: 08 Dec 2023
 FREQUENCY: Fri every week

TREATMENT MC00059

Induction & Training provided to elected members

SIGNOFF(S): Britt Hadlow
 DUE DATE: 30 Nov 2025
 FREQUENCY: The last Day of every 24 months

TREATMENT MC00087

Manage Procurement - Identify need for procurement
 Process minimises opportunity for misconduct

SIGNOFF(S): Colin Young
 Kristy Hopkins
 DUE DATE: 01 Oct 2024
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00102

Fraud Control Plan in place (refer OAG 2019/20 Report 5 - Fraud Prevention)

SIGNOFF(S): Britt Hadlow
 DUE DATE: 28 Feb 2025
 FREQUENCY: The last Day of every 24 months

TREATMENT MC00158

Review Employee IT Security Access on a quarterly basis

SIGNOFF(S): Kunal Sarma
 DUE DATE: 01 Feb 2024
 FREQUENCY: The first Weekday of every 3 months

RESIDUAL
3.6
 LOW

INHERENT
12.0

R00037

AMP - TRANSPORT, ENVIRONMENTAL - BUILT

Asset Inventories inaccurate
 Asset inventories are not up to date and therefore inaccurate resulting in poor decision making

OWNER Paul Devcic
 CREATED 7/15/2019 4:40:29 PM

LIKELIHOOD Likely
 SEVERITY Medium
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00018
 Up to date and accurate transport management plan in place

SIGNOFF(S): Paul Devcic
 Colin Young
 DUE DATE: 01 Feb 2025
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00019
 Up to date and accurate building asset management plan in place

SIGNOFF(S): Paul Devcic
 Colin Young
 Shane Moorhead
 DUE DATE: 01 Jun 2025
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00020
 Up to date and accurate parks & reserves asset management plan in place

SIGNOFF(S): Paul Devcic
 Colin Young
 DUE DATE: 01 Sep 2025
 FREQUENCY: The first Day of every 24 months

RESIDUAL
3.6
 LOW

INHERENT
12.0

R00038

AMP - TRANSPORT, ENVIRONMENTAL - BUILT

Inaccurate Asset Valuations
 Valuations are carried out, however inaccurate resulting in impact on Council decision making and financial ratios

OWNER Colin Young
 CREATED 7/15/2019 4:47:14 PM

LIKELIHOOD Possible
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00090
 Revaluations of Council Building Assets (Fair Value)

SIGNOFF(S): Colin Young
 DUE DATE: 01 Feb 2027
 FREQUENCY: The first Day of every 60 months

TREATMENT MC00091
 Revaluations of Council Transport Infrastructure Assets (Fair Value)

SIGNOFF(S): Colin Young
 DUE DATE: 30 Jun 2028
 FREQUENCY: The last Day of every 60 months

TREATMENT MC00092
 Revaluation of Council Plant & Equipment

SIGNOFF(S): Colin Young
 DUE DATE: 01 Oct 2025
 FREQUENCY: The first Day of every 60 months

<p>RESIDUAL 3.6 LOW</p> <p>INHERENT 12.0</p> <p>R00031</p>	<p>GENERAL, REPUTATION - COMMUNITY</p> <p>Providing inaccurate advice / information to stakeholders</p> <p>Incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff. This could be caused by using unqualified, or inexperienced staff, however it does not include instances relating to Misconduct.</p> <p>Examples include;</p> <ul style="list-style-type: none"> • incorrect planning, development or building advice, • incorrect health or environmental advice • inconsistent messages or responses from Customer Service Staff • any advice that is not consistent with legislative requirements, local laws or policies. <p>OWNER Debbie Terelinck CREATED 7/2/2019 1:27:54 PM</p> <p>LIKELIHOOD Likely SEVERITY Medium CONTROL EFFECTIVENESS Strong</p>	<p>TREATMENT MC00007</p> <p>Manage Inductions - Conduct New Employee Induction All new employees are provided with adequate inductions</p> <p>TREATMENT MC00013</p> <p>Manage Customer Requests - Receive Request Ensuring that the organisation captures and responds appropriately to community and internal requests for works or services</p> <p>TREATMENT MC00051</p> <p>Manage Staff Training - Identify Training Needs Ensure staff training needs are identified and met</p>	<p>CHANGE(S) PENDING</p> <p>SIGNOFF(S): Janice Byers DUE DATE: 08 Dec 2023 FREQUENCY: Fri every week</p> <p>CHANGE(S) PENDING</p> <p>SIGNOFF(S): Debbie Terelinck Britt Hadlow DUE DATE: FREQUENCY: Once</p> <p>CHANGE(S) PENDING</p> <p>SIGNOFF(S): Janice Byers DUE DATE: 31 Oct 2024 FREQUENCY: The last Day of every 12 months</p>
	<p>AMP - BUILDINGS, ENVIRONMENTAL - BUILT, HEALTH & SAFETY</p> <p>Condition of buildings is unknown</p> <p>Council is unclear as to the condition of its building assets and therefore unable to make informed decisions, resulting in poor building condition and building safety concerns</p> <p>OWNER Paul Devcic CREATED 7/16/2019 11:26:43 AM</p> <p>LIKELIHOOD Possible SEVERITY Major CONTROL EFFECTIVENESS Strong</p>	<p>TREATMENT MC00019</p> <p>Up to date and accurate building asset management plan in place</p> <p>TREATMENT MC00090</p> <p>Revaluations of Council Building Assets (Fair Value)</p> <p>TREATMENT MC00093</p> <p>Develop and maintain medium term building maintenance program to ensure future costs are understood</p>	<p>SIGNOFF(S): Paul Devcic Colin Young Shane Moorhead DUE DATE: 01 Jun 2025 FREQUENCY: The first Day of every 24 months</p> <p>SIGNOFF(S): Colin Young DUE DATE: 01 Feb 2027 FREQUENCY: The first Day of every 60 months</p> <p>SIGNOFF(S): Shane Moorhead DUE DATE: 01 Nov 2024 FREQUENCY: The first Day of every 12 months</p>

RESIDUAL
3.6
 LOW

INHERENT
12.0

R00042

AMP - BUILDINGS, FINANCIAL - OPERATIONAL

Future financial requirements for buildings unknown
 Council fails to understand and plan for future building maintenance / expansion requirements

OWNER Debbie Terelink
 CREATED 7/16/2019 11:28:36 AM
 LIKELIHOOD Possible
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00019

Up to date and accurate building asset management plan in place

SIGNOFF(S): Paul Devcic
 Colin Young
 Shane Moorhead
 DUE DATE: 01 Jun 2025
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00021

Long Term Financial Plan aligned to asset management plans

SIGNOFF(S): Colin Young
 DUE DATE: 01 Dec 2023
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00034

Long Term Financial Plan in Place

SIGNOFF(S): Colin Young
 DUE DATE: 01 Jul 2024
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00035

Annual Budget adopted and aligned with long term financial plan

SIGNOFF(S): Colin Young
 DUE DATE: 31 Jul 2024
 FREQUENCY: The last Day of every 12 months

RESIDUAL
3.6
 LOW

INHERENT
12.0

R00044

AMP - BUILDINGS, FINANCIAL - OPERATIONAL

Maintenance not planned
 Planned Maintenance & operation schedules, with budgets, do not exist, resulting in long term financial costs and asset deterioration

OWNER Paul Devcic
 CREATED 7/16/2019 11:36:36 AM
 LIKELIHOOD Possible
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00019

Up to date and accurate building asset management plan in place

SIGNOFF(S): Paul Devcic
 Colin Young
 Shane Moorhead
 DUE DATE: 01 Jun 2025
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00035

Annual Budget adopted and aligned with long term financial plan

SIGNOFF(S): Colin Young
 DUE DATE: 31 Jul 2024
 FREQUENCY: The last Day of every 12 months

RESIDUAL 3.6 LOW	AMP - BUILDINGS, FINANCIAL - STRATEGIC Financial sustainability performance indicators not met The asset class does not meet the established financial performance parameters, resulting in an indication of asset sustainability	TREATMENT MC00019 Up to date and accurate building asset management plan in place	SIGNOFF(S): Paul Devcic Colin Young Shane Moorhead DUE DATE: 01 Jun 2025 FREQUENCY: The first Day of every 24 months
	INHERENT 12.0 R00045	OWNER Debbie Terelinck CREATED 7/16/2019 11:38:59 AM LIKELIHOOD Likely SEVERITY Medium CONTROL EFFECTIVENESS Strong	TREATMENT MC00021 Long Term Financial Plan aligned to asset management plans
		TREATMENT MC00090 Revaluations of Council Building Assets (Fair Value)	SIGNOFF(S): Colin Young DUE DATE: 01 Feb 2027 FREQUENCY: The first Day of every 60 months
		TREATMENT MC00091 Revaluations of Council Transport Infrastructure Assets (Fair Value)	SIGNOFF(S): Colin Young DUE DATE: 30 Jun 2028 FREQUENCY: The last Day of every 60 months

RESIDUAL 3.6 LOW	MAJOR PROJECTS, FINANCIAL - OPERATIONAL, HEALTH & SAFETY, PROPERTY - LIABILITY, REPUTATION - COMMUNITY, STRATEGIC - COMMUNITY Aquatic Facility - Ineffective Project Management Aquatic Facility Project not managed effectively	TREATMENT MC00053 Project management framework in place, providing parameters for staff to operate within	SIGNOFF(S): Debbie Terelinck DUE DATE: 31 Jul 2024 FREQUENCY: The last Day of every 12 months
	INHERENT 12.0 R00048	OWNER Debbie Terelinck CREATED 9/14/2020 2:23:26 PM LIKELIHOOD Possible SEVERITY Major CONTROL EFFECTIVENESS Strong	TREATMENT MC00054 Prepare Elected Members Monthly Report - Publish Monthly Report Major Project status reporting to Council (through monthly elected member report)
		TREATMENT MC00064 Independent Project Superintendent appointed with requisite skills to acknowledge scale and complexity of this project	SIGNOFF(S): Debbie Terelinck DUE DATE: FREQUENCY: Once
		TREATMENT MC00067 Construction project progress reports to be provided	SIGNOFF(S): Debbie Terelinck DUE DATE: FREQUENCY: Once

TREATMENT MC00068 Project Superintendent (Donovan Payne) reports to be provided monthly	SIGNOFF(S): DUE DATE: FREQUENCY:	Debbie Terelinck Once
TREATMENT MC00069 Financial variations to be signed off by Project Manager	SIGNOFF(S): DUE DATE: FREQUENCY:	Debbie Terelinck Once
TREATMENT MC00070 All request for information and clarification to be signed off / cited by Council Project Manager	SIGNOFF(S): DUE DATE: FREQUENCY:	Debbie Terelinck Once
TREATMENT MC00071 Project assessment / evaluation to be undertaken at completion and reported to audit committee	SIGNOFF(S): DUE DATE: FREQUENCY:	Debbie Terelinck Once
TREATMENT MC00074 Project time delays to be signed off in accordance with contract	SIGNOFF(S): DUE DATE: FREQUENCY:	Debbie Terelinck Once

RESIDUAL
3.6
LOW

INHERENT
12.0

R00049

MAJOR PROJECTS, HEALTH & SAFETY - OCCUPATIONAL

Aquatic Facility - Insufficient OHS in place for project
Contractor has insufficient systems, processes and practices in place to manage site OHS effectively for the Aquatic Facility Project

OWNER Debbie Terelinck
CREATED 9/14/2020 2:26:32 PM

LIKELIHOOD Possible
SEVERITY Major
CONTROL EFFECTIVENESS Strong

TREATMENT MC00065 OHS report required from contractor, including details of site their own OHS site inspections	SIGNOFF(S): DUE DATE: FREQUENCY:	Debbie Terelinck Once
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RESIDUAL
3.6
 LOW

INHERENT
12.0

R00050

MAJOR PROJECTS, COMPLIANCE - LEGISLATIVE

Aquatic Facility - Inadequate Construction Contract

Aquatic Facility Project construction contract not adequate which exposes Council to contract risk through the construction phase

OWNER Debbie Terelinck
 CREATED 9/14/2020 2:27:38 PM
 LIKELIHOOD Possible
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

RESIDUAL
3.6
 LOW

INHERENT
12.0

R00052

MAJOR PROJECTS, COMPLIANCE - LEGISLATIVE, FINANCIAL - STRATEGIC

Sale of 239 Yilgarn Avenue - Contract Requirements not satisfied

239 Yilgarn Avenue sale of land does not proceed as a result of non compliance with contract requirements

OWNER Debbie Terelinck
 CREATED 9/14/2020 2:31:42 PM
 LIKELIHOOD Possible
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00094

The Buyer shall submit a Development Application within six calendar months of the contract date

SIGNOFF(S): Debbie Terelinck

DUE DATE:

FREQUENCY: Once

RESIDUAL
3.0
 LOW

INHERENT
10.0

R00054

ENGINEERING SERVICES, SERVICE INTERRUPTION

PPOSAMP Service Levels Interruption
 Identify and budget for assets reaching end of life there will likely be service interruptions with delayed replacement timeframes.

OWNER Paul Devcic
 CREATED 12/2/2020 9:37:11 AM

LIKELIHOOD Almost Certain
 SEVERITY Minor
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00106
 Review Asset Management plan every two years.

SIGNOFF(S): Keith Boase
 DUE DATE: 01 Oct 2024
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00107
 Ensure asset management plan financial requirements are included in long term financial plan

SIGNOFF(S): Keith Boase
 DUE DATE: 31 Jan 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00108
 Ensure asset management plan financial requirements are included in annual budget

SIGNOFF(S): Keith Boase
 DUE DATE: 01 Jun 2024
 FREQUENCY: The first Day of every 12 months

RESIDUAL
2.7
 LOW

INHERENT
9.0

R00057

GENERAL, COMPLIANCE - POLICY

Up to date Council Policy
 Failure to review policies bi-annually.

OWNER Debbie Terelinck
 CREATED 1/4/2023 3:39:02 PM

LIKELIHOOD Possible
 SEVERITY Medium
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00115 Review Governance Policies.	SIGNOFF(S): DUE DATE: FREQUENCY:	Debbie Terelinck Britt Hadlow Janice Byers 30 Jun 2025 30th day of every 24 months
TREATMENT MC00116 Review Community Support Policies.	SIGNOFF(S): DUE DATE: FREQUENCY:	David Emery Jaime Hawkins Louisa Dyer Britt Hadlow 30 Jun 2024 30th day of every 24 months
TREATMENT MC00117 Review Finance / Accounting policies.	SIGNOFF(S): DUE DATE: FREQUENCY:	Colin Young Kudzai Matanga Kristy Hopkins 30 Jun 2025 30th day of every 24 months
TREATMENT MC00118 Review Works policies.	SIGNOFF(S): DUE DATE: FREQUENCY:	Paul Devcic Helen Singh Santo Leotta Keith Boase 30 Jun 2025 30th day of every 24 months
TREATMENT MC00119 Review Health Policies.	SIGNOFF(S): DUE DATE: FREQUENCY:	Gordon Tester Jacky Jurmann 30 Jun 2025 30th day of every 24 months
TREATMENT MC00120 Review Planning Policies	SIGNOFF(S): DUE DATE: FREQUENCY:	Jacky Jurmann 30 Jun 2025 30th day of every 24 months
TREATMENT MC00121 Review Building Policies.	SIGNOFF(S): DUE DATE: FREQUENCY:	Gordon Tester Jacky Jurmann 30 Jun 2025 30th day of every 24 months
TREATMENT MC00122 Review Administration Policies.	SIGNOFF(S): DUE DATE: FREQUENCY:	Britt Hadlow Debbie Terelinck Alex Espey Jacky Jurmann 30 Jun 2025 30th day of every 24 months

RESIDUAL
2.7
 LOW

INHERENT
9.0

R00024

CHIEF EXECUTIVES OFFICE, COMPLIANCE - POLICY, FINANCIAL - OPERATIONAL, HEALTH & SAFETY - OCCUPATIONAL

Inadequate Project Management

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

OWNER Debbie Terelinck
 CREATED 7/1/2019 3:20:45 PM

LIKELIHOOD Possible
 SEVERITY Medium
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00053

Project management framework in place, providing parameters for staff to operate within

SIGNOFF(S): Debbie Terelinck
 DUE DATE: 31 Jul 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00054

Prepare Elected Members Monthly Report - Publish Monthly Report
 Major Project status reporting to Council (through monthly elected member report)

CHANGE(S) PENDING
 SIGNOFF(S): Tamika Van Beek
 DUE DATE: 15 Dec 2023
 FREQUENCY: 15th day of every month

TREATMENT MC00055

Internal audit of project and major project (as defined by corporate business plan) management framework compliance.

SIGNOFF(S): Debbie Terelinck
 DUE DATE: 31 May 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00057

Manage Major Projects - Project Performance and Control
 Provides process for managing projects

CHANGE(S) PENDING
 SIGNOFF(S): Paul Devcic
 Debbie Terelinck
 DUE DATE: 30 Sep 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00159

Review project management framework to ensure it remains appropriate/relevant.

SIGNOFF(S): Debbie Terelinck
 DUE DATE: 31 Jan 2024
 FREQUENCY: The last Day of every 12 months

RESIDUAL
2.7
LOW

INHERENT
9.0

R00025

CHIEF EXECUTIVES OFFICE, COMMUNITY SERVICES, CORPORATE SERVICES, DEVELOPMENT SERVICES, ENGINEERING SERVICES, FINANCIAL - OPERATIONAL, HEALTH & SAFETY - OCCUPATIONAL, SERVICE INTERRUPTION

Inadequate Supplier / Contract Management

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
- Vendor sustainability

It does not include failures in the tender process; refer "Inadequate Procurement, Disposal or Tender Practices".

OWNER Colin Young

CREATED 7/1/2019 3:54:58 PM

LIKELIHOOD Possible

SEVERITY Medium

CONTROL EFFECTIVENESS Strong

TREATMENT MC00160

Have an external legal review of standard contract documents every three years.

SIGNOFF(S):

Kristy Hopkins

DUE DATE:

31 Jul 2024

FREQUENCY:

The first Day of every 36 months

TREATMENT MC00161

Internal audit of one major contract for compliance every 12 months.

SIGNOFF(S):

Kristy Hopkins
Britt Hadlow

DUE DATE:

31 Aug 2024

FREQUENCY:

The last Day of every 12 months

RESIDUAL
2.7
 LOW

INHERENT
9.0

R00003

CHIEF EXECUTIVES OFFICE, STRATEGIC - ORGANISATIONAL

Ineffective People Management / Employment Practices

Failure to effectively manage and lead human resources (full/part time, casuals, temporary and volunteers). This includes not having an effective Human Resources Framework in addition to not having appropriately qualified or experienced people in the right roles or not having sufficient staff numbers to achieve objectives. Other areas in this risk theme to consider are;

- Breaching employee regulations (excluding OH&S).
- Discrimination, Harassment & Bullying in the workplace.
- Poor employee wellbeing (causing stress)
- Key person dependencies without effective succession planning in place.
- Induction issues.
- Terminations (including any tribunal issues).
- Industrial activity.

Care should be taken when considering insufficient staff numbers as the underlying issue could be a process inefficiency.

OWNER Debbie Terelinck
 CREATED 5/6/2019 1:23:01 PM

LIKELIHOOD Possible
 SEVERITY Medium
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00007

Manage Inductions - Conduct New Employee Induction
 All new employees are provided with adequate inductions

CHANGE(S) PENDING

SIGNOFF(S): Janice Byers
 DUE DATE: 08 Dec 2023
 FREQUENCY: Fri every week

TREATMENT MC00049

100% of annual performance reviews undertaken

SIGNOFF(S): Janice Byers
 DUE DATE: 31 Dec 2023
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00050

Manage Employee Termination - Receive notification
 Ensuring that employee terminations are managed appropriately and equitably to minimise risk of further action

SIGNOFF(S): Janice Byers
 DUE DATE: 01 Jan 2024
 FREQUENCY: The first Day of every 3 months

TREATMENT MC00051

Manage Staff Training - Identify Training Needs
 Ensure staff training needs are identified and met

CHANGE(S) PENDING

SIGNOFF(S): Janice Byers
 DUE DATE: 31 Oct 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00052

Manage Employee Discipline / Misconduct - Receive Notification / Identify Misconduct
 Ensure any / all staff misconduct in managed effectively and consistently

CHANGE(S) PENDING

SIGNOFF(S): Debbie Terelinck
 Colin Young
 Paul Devcic
 Chadd Hunt
 DUE DATE: 01 Jan 2024
 FREQUENCY: The first Day of every 3 months

RESIDUAL
2.4
 LOW

INHERENT
8.0

R00014

GENERAL, SERVICE INTERRUPTION

Business Interruption

A local physical event causing the inability to continue business activities and provide services to the community. This may or may not result in Business Continuity Plans to be invoked.

This does not include disruptions due to:

- IT Systems or infrastructure related failures should be captured under "Failure of IT Systems and Infrastructure".
- Contractor / Supplier issues should be captured under "Inadequate Supplier / Contract Management".
- People issues should be captured under "Inappropriate People Management".

OWNER Debbie Terelinck

CREATED 5/24/2019 2:43:56 PM

LIKELIHOOD Unlikely

SEVERITY Major

CONTROL EFFECTIVENESS Strong

TREATMENT MC00022

Business Continuity Plan in place and up to date

SIGNOFF(S):

Britt Hadlow
Debbie Terelinck

DUE DATE:

01 Nov 2024

FREQUENCY:

The first Day of every 48 months

7.7 Risk Register Review - Health & Safety

File Reference:	8.2.7.1
Reporting Officer:	Britt Hadlow (Governance Coordinator)
Responsible Officer:	Debbie Terelinck (Chief Executive Officer)
Officer Declaration of Interest:	Nil
Voting Requirement:	Simple Majority
Press release to be issued:	No

BRIEF

For the Committee to endorse the review of the "Health & Safety" risk section of the Shire of Northam Risk Register for consideration by Council.

ATTACHMENTS

1. Health & Safety - Risk Register [7.7.1 - 12 pages]

A. BACKGROUND / DETAILS

The Shire of Northam has an organisation-wide risk register that has been developed over a long period of time. Council has been advised previously that the management of risk is an area which has been under-developed within the organisation and an area which was to receive focus to ensure Council is aware of the identified risks and treatments strategies in place.

To assist in the effective management of risk the Shire is using the Promapp system, which allows for recording of organisational risks and the tracking of the associated treatment actions.

The Shire's Risk Register is categorised into the following sections, with the intent to review one section at each Audit and Risk Committee meeting (red indicates review completed, bold is the review in this agenda item):

1. Compliance – Review Completed
 - a. Legislation
 - b. Policy
2. Environmental – Review Completed
 - a. Built
 - b. Natural
3. Financial
 - a. Operating
 - b. Strategic

- 4. Health & Safety**
 - a. General
 - b. Occupational
 - c. Bush Fire Volunteers
 - d. Public
- 5. Property
 - a. Damage
 - b. Liability
- 6. Reputation
 - a. Community
 - b. Industry
- 7. Strategic
 - a. Community
 - b. Organisational

B. CONSIDERATIONS

B.1 Strategic Community / Corporate Business Plan

Performance Area: Performance. Outcome 12: Excellence in organisational performance and customer service.

Objective 12.1: Maintain a high standard of corporate governance and financial management.

Priority Action: Nil.

B.2 Financial / Resource Implications

Each of the mitigation actions has been incorporated into annual delivery plans with appropriate budgets and time allocations to ensure achievable.

B.3 Legislative Compliance

AS/NZS ISO 31000:2018

B.4 Policy Implications

Policy G1.11 – Risk Management

B.5 Stakeholder Engagement / Consultation

Appropriate staff have been included in the review of the register.

B.6 Risk Implications

Refer to Risk Matrix [here](#).

Risk Category	Description	Rating (likelihood x consequence)	Mitigation Action
Financial	Nil.		
Health & Safety	Nil.		

Reputation	Negative community perception due to lack of adequate risk management practices within the Shire of Northam	Minor(2) x Possible(3) = Moderate(6)	Per recommendation within this report
Service Interruption	Nil.		
Compliance	Nil.		
Property	Nil.		
Environment	Nil.		

B.7 Natural Environment Considerations

Nil.

C. OFFICER'S COMMENT

The health and safety risk register category is split into general, bush fire volunteers, occupational, people and public. Officers have made recommendations after reviewing their respective risks and treatments.

General		
Risk	Treatment	Recommendation
R00032 Inadequate Organisation and Community Emergency Management R00032 appears to be a duplicate of R00017 (see detail in Public section). Recommending to remove this risk and all related risk treatments can be removed.	MC00077 Functioning Local Emergency Management Committee, which meets quarterly.	Remove. This risk treatment covered by MC00027. (Ref: R00017)
	MC00078 Conduct at least 1 Emergency Management training exercise per year.	Remove. This risk treatment covered by MC00029. (Ref: R00017)
	MC00079 Conduct Inductions for Bush Fire Brigade Volunteer Members Annually.	Remove. This risk treatment covered by MC00155. (Ref: R00066)

	MC00080 Review Risk to Resources Document	This document is no longer required.
R00036 Transport Assets not routinely inspected	MC00088 Transport Assets to be routinely inspected every 3 years (includes sealed and unsealed roads, kerbs and table drains. Excludes footpaths and piped drainage network).	
	MC00096 Safety inspections carried out in response to Customer Service Requests by members of the public and Shire staff.	
R00041 Condition of buildings is unknown.	MC00019 Up to date and accurate building asset management plan in place.	
	MC00090 Revaluations of Council Building Assets (Fair Value).	
	MC00093 Develop and maintain medium term building maintenance program to ensure future costs are understood.	
R00048 Aquatic Facility - Ineffective Project Management The project to deliver the new Northam Aquatic Facility is completed and this risk and all related risk	MC00053 Project management framework in place, providing parameters for staff to operate within.	Remove.
	MC00054 Prepare Elected Members Monthly Report - Publish Monthly Report. Major Project status reporting to Council (through monthly elected member report).	Remove.
	MC00064 Independent Project Superintendent appointed	Remove.

treatments can be removed.	with requisite skills to acknowledge scale and complexity of this project.	
	MC00067 Construction project progress reports to be provided.	Remove.
	MC00068 Project Superintendent (Donovan Payne) reports to be provided monthly.	Remove.
	MC00069 Financial variations to be signed off by Project Manager.	Remove.
	MC00070 All request for information and clarification to be signed off / cited by Council Project Manager.	Remove.
	MC00071 Project assessment / evaluation to be undertaken at completion and reported to audit committee.	Remove.
	MC00074 Project time delays to be signed off in accordance with contract	Remove.

Occupational		
Risk	Treatment	Recommendation
R00022 Inadequate safety and security practices	MC00041 Undertake OHS Audit.	Change to "OHS" to "WHS".
	MC00042 Implement recommendations from OHS Audit & Report to Audit & Risk Committee.	Change treatment to Provide a progress update on the implementation of the recommendations from the 2023 WHS Audit to every second meeting of the Audit & Risk

		Management Committee.
	MC00043 WHS Committee Meeting Regularly.	
	MC00044 Toolbox meetings occurring and discussing safety (attach minutes/notes to sign off).	
	MC00045 Senior Management Meeting (where the OSH system is reviewed and KPI's are measured as an agenda item).	Remove this treatment due to the CEO being the chair of the WHS Committee meeting, and the Executive Managers are members of the Committee. The WHS system and procedures are monitored through the WHS Committee.
	MC00046 OHS Policy Framework in place and reviewed.	Change "OHS" to "WHS"
	MC00095 Undertake Workplace Safety Inspections - Undertake Inspection. OSH inspections undertaken for each site.	Need to add Acting Executive Manager, Community Services and Executive Manager, Development Services to treatment sign off for their work areas. Current sign offs are: Exec. Man. Corporate Services Exec. Man. Engineering Services Chief Executive Officer Change "OHS" to "WHS"
<u>R00024</u>	MC00053	

Inadequate Project Management	Project management framework in place, providing parameters for staff to operate within.	
	MC00054 Prepare Elected Members Monthly Report - Publish Monthly Report. Major Project status reporting to Council (through monthly elected member report).	
	MC00055 Internal audit of project and major project (as defined by corporate business plan) management framework compliance.	
	MC00057 Manage Major Projects - Project Performance and Control. Provides process for managing projects.	Remove this treatment as it is duplicated by Treatment MC00053 and MC00055.
	MC00159 Review project management framework to ensure it remains appropriate/relevant.	Remove as this treatment as it is duplicated by Treatment MC00053.
<u>R00049</u> Aquatic Facility - Insufficient OHS in place for project The project to deliver the new Northam Aquatic Facility is completed and this risk and all related risk treatments can be removed.	MC00065 OHS report required from contractor, including details of site their own OHS site inspections	Remove.
<u>R00025</u> Inadequate Supplier / Contract Management	MC00160 Have an external legal review of standard contract documents every three years.	

	MC00161 Internal audit of one major contract for compliance every 12 months.	
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Bush Fire Volunteers		
Risk	Treatment	Recommendation
R00064 Farmer Response	MC00133 Marketing to encourage farmers to have protective clothing in their vehicles in case of a fire emergency. Social media campaign to be developed to commence September annually in the lead up to fire season.	
	MC00134 Provide Shire of Northam Fire appliance with one spare set of PPE (confirm with brigade captains).	
	MC00135 Memo to Leadership Team and FCO's reminding them of importance of effective coordination on active fire grounds by ensuring fire control officers and brigade members are aware of importance of the sector commander or incident controller recording private fire units and of sectorising fires early.	
	MC00136 Provide a mechanism for farmers to have private units certified / approved for use on fire ground, whether that be through provision of pre-season checks or requirement to self certify as part of response sticker application process.	
	MC00137	



	Encourage young people (farmers) to become members of bushfire brigades through annual social media campaign.	
	MC00138 Investigate potential incentives to attract volunteers	
R00065 Fire Station, Appliances & Equipment	MC00139 Undertake monthly workplace inspections of fire stations undertaken by Brigade captains of another appropriate brigade member.	
	MC00140 Pre-season safety inspection of fire stations.	
	MC00141 Provide manual handling training / refreshers to all volunteers. May be in person or provision of online refresher opportunity.	
	MC00142 Ensure weekly inspections of fire appliance is being undertaken during fire season.	
	MC00143 Undertake pre-season check of all appliances by qualified mechanic.	
	MC00144 Provide vehicle report forms to all brigades to ensure damage or maintenance requirements are being identified.	
	MC00145 Provide access to off-road training to all volunteers.	
	MC00146 Memo to all brigade members in relation to	

	requirement for bushfire appliance operators to obey road rules when on public roads at all times, unless an exemption is provided due to driver having undertaken necessary training.	
	MC00147 Provide washing machines at all Fire Stations and encourage / recommend that all PPE be washed on site	
	MC00148 Provide 2 sets of PPE to all active brigade members on their request.	
R00066 Volunteer Training	MC00149 Ensure minimum training standards for bushfire volunteers, including the leadership team, are endorsed by Council.	
	MC00151 Have standard operating procedures in place	
	MC00152 Ensure adequate training assessors are approved by DFES for the Shire of Northam.	
	MC00153 Provide volunteers with access to flexible training arrangements, with a particular focus on weeknight training to suit volunteers.	
	MC00154 Require minimum training before a volunteer can be active on the fire ground (utilising DFES guidelines) - reminder to be sent to all captains and volunteers.	
	MC00155	

	All volunteers to be required to undertake pre-season competency based training / annual induction prior to start of fire season.	
	MC00157 Review training records/registers to ensure they are up to date and utilised to identify training requirements.	

Public		
Risk	Treatment	Recommendation
<p><u>R00056</u> Unsafe Playground equipment</p> <p>Remove this risk from the Risk Register and associated treatments as it is part of core operational business and is not required to be reported at Council level.</p>	<p>MC00113 Regular playground inspections to be completed on a monthly basis.</p>	<p>Remove.</p>
<p><u>R00017</u> Inadequate Organisation and Community Emergency Management</p>	<p>MC00027 Establishment of a 'functional' Local Emergency Management Committee, which meets six monthly.</p>	<p>Change this risk treatment to Establishment of a 'functional' Local Emergency Management Committee, which meets which meets quarterly to bring into line with legislation.</p>
	<p>MC00028 Current Local Emergency Management Arrangements & Recovery Plan.</p>	
	<p>MC00029</p>	

	Run annual emergency management exercise.	
	MC00030 Bush fire Risk Management Plan in Place.	
	MC00031 Fuel Loads risk register in place.	
R00059 River Water Quality	Manage River Water Sampling - Prepare items required items to conduct sampling. Ensure river sampling is conducted and results assessed. Ensure communication and signage is adequate with community.	
R00060 Re-use water quality	Manage Reclaimed Water Sampling - Receive results. Ensure procedures are followed for sampling.	
R00055 Inadequate Cleaning of Shire Facilities	MC00109 Manage public tenders (RFT) for purchases over \$250,000 Excl. GST - Prepare Tender. Conduct a public tender as per the Manage Tenders Process and in line with the Shire's Procurement Policy F4.2.	
Remove this risk from the Risk Register and associated treatments as this risk is managed under Tender and Contract Management (R00025)	MC00110 Have a contract in place for regular cleaning schedule in place in accordance with best cleaning practices Monthly inspection of toilets to be undertaken by Council staff.	

RECOMMENDATION

That the Audit and Risk Management Committee endorses the following recommendation being presented to Council:

- 1. That Council confirms the 'Health & Safety' risk register as presented with the following amendments:**

- a. Change any reference to the *Occupational Health & Safety Act 1985* to the *Work Health & Safety Act 2020*.
- b. Change any reference of “OSH” to “WHS”.
- c. Archiving risk R00032 “Inadequate Organisation and Community Emergency Management” and associated risk treatments.
- d. Archiving risk R00048 “Aquatic Facility - Ineffective Project Management” and associated risk treatments.
- e. Amend risk treatment MC00042 “Implement recommendations from OHS Audit & Report to Audit & Risk Committee” to “Provide a progress update on the implementation of the recommendations from the 2023 WHS Audit to every second meeting of the Audit & Risk Committee.”
- f. Archive risk treatment MC00045 “Senior Management Meeting (where the OSH system is reviewed and KPI’s are measured as an agenda item).”
- g. Add Acting Executive Manager, Community Services and Executive Manager, Development Services as “sign offs” to Risk Treatment M00095.
- h. Archiving risk treatment MC00057 “Manage Major Projects - Project Performance and Control. Provides process for managing projects.”
- i. Archiving risk treatment MC00159 “Review project management framework to ensure it remains appropriate/relevant.”
- j. Archiving risk R00049 “Aquatic Facility - Insufficient OHS in place for project” and associated risk treatments.
- k. Archiving risk R00056 “Unsafe Playground equipment” and associated risk treatment.
- l. Amend MC00027 “Establishment of a 'functional' Local Emergency Management Committee, which meets six monthly” to “Establishment of a 'functional' Local Emergency Management Committee, which meets which meets quarterly”.
- m. Archiving risk R00055 “Inadequate Cleaning of Shire Facilities” and associated risk treatments.



Risk Register

Filter: Classification(s): Health & Safety, Health & Safety - Occupational, Health & Safety - Public, Health & Safety - Bushfire Volunteers, Health & Safety - People

RESIDUAL 15.0 EXTREME	GENERAL, HEALTH & SAFETY - PUBLIC River Water Quality Risk of public swimming in river during times of poor river quality and becoming unwell.	TREATMENT MC00124 Manage River Water Sampling - Prepare items required items to conduct sampling Ensure river sampling is conducted and results assessed. Ensure communication and signage is adequate with community.	CHANGE(S) PENDING SIGNOFF(S): Susan Burley DUE DATE: 01 Feb 2024 FREQUENCY: 1st day of every 12 months
INHERENT 15.0	OWNER Chadd Hunt CREATED 2/20/2023 12:18:55 PM LIKELIHOOD Possible SEVERITY Extreme CONTROL EFFECTIVENESS Deficiencies		
R00059			

RESIDUAL 12.0 EXTREME	GENERAL, HEALTH & SAFETY - PUBLIC Re-use water quality Ensure re-use water quality meets Department of Health licensing requirements.	TREATMENT MC00125 Manage Reclaimed Water Sampling - Receive results Ensure procedures are followed for sampling.	CHANGE(S) PENDING SIGNOFF(S): Gordon Tester Neil Travers Paul Todd George Johnson Sean Cope Keith Boase Susan Burley DUE DATE: 01 Feb 2024 FREQUENCY: 1st day of every 12 months
INHERENT 12.0	OWNER Chadd Hunt CREATED 2/20/2023 12:23:15 PM LIKELIHOOD Possible SEVERITY Major CONTROL EFFECTIVENESS Deficiencies		
R00060			

RESIDUAL
9.6
 HIGH

INHERENT
12.0

R00064

DEVELOPMENT SERVICES, HEALTH & SAFETY - BUSHFIRE VOLUNTEERS

Farmer Response

Risk associated with farmers turning out to fires

OWNER Chadd Hunt

CREATED 7/21/2023 1:47:37 PM

LIKELIHOOD Possible

SEVERITY Major

CONTROL EFFECTIVENESS Adequate

TREATMENT MC00133

Marketing to encourage farmers to have protective clothing in their vehicles in case of a fire emergency. Social media campaign to be developed to commence September annually in the lead up to fire season

SIGNOFF(S):

Alex Espey
Chadd Hunt

DUE DATE:

25 Aug 2024

FREQUENCY:

25th day of every 12 months

TREATMENT MC00134

Provide Shire of Northam Fire appliance with one spare set of PPE. (confirm with brigade captains)

SIGNOFF(S):

Alex Espey
Chadd Hunt

DUE DATE:

30 Aug 2024

FREQUENCY:

30th day of every 12 months

TREATMENT MC00135

Memo to Leadership Team and FCO's reminding them of importance of effective coordination on active fire grounds by ensuring fire control officers and brigade members are aware of importance of the sector commander or incident controller recording private fire units and of sectorising fires early,

SIGNOFF(S):

Alex Espey
Chadd Hunt

DUE DATE:

29 Sep 2024

FREQUENCY:

29th day of every 12 months

Provide a mechanism for farmers to have private units certified / approved for use on fire ground, whether that be through provision of pre-season checks or requirement to self certify as part of response sticker application process

SIGNOFF(S):

Alex Espey
Chadd Hunt

DUE DATE:

30 Aug 2024

FREQUENCY:

30th day of every 12 months

TREATMENT MC00137

Encourage young people (farmers) to become members of bushfire brigades through annual social media campaign

SIGNOFF(S):

Alex Espey
Chadd Hunt
Ian Kieley

DUE DATE:

29 Sep 2024

FREQUENCY:

29th day of every 12 months

TREATMENT MC00138

Investigate potential incentives to attract volunteers

SIGNOFF(S):

Alex Espey
Chadd Hunt

DUE DATE:

FREQUENCY:

Once

TREATMENT MC00139

Undertake monthly workplace inspections of fire stations undertaken by Brigade captains of another appropriate brigade member

SIGNOFF(S):

Alex Espey

DUE DATE:

23 Dec 2023

FREQUENCY:

23rd day of every 2 months

RESIDUAL
9.6
 HIGH

INHERENT
12.0

R00065

DEVELOPMENT SERVICES, HEALTH & SAFETY - BUSHFIRE VOLUNTEERS

Fire Station, Appliances & Equipment
 Ensure our volunteers have access to adequate / appropriate and safe buildings, appliances and equipment

OWNER Chadd Hunt
 CREATED 7/21/2023 2:10:25 PM
 LIKELIHOOD Possible
 SEVERITY Major
 CONTROL EFFECTIVENESS Adequate

TREATMENT MC00140	SIGNOFF(S):	Alex Espey Joanne Griffiths
Pre-season safety inspection of fire stations	DUE DATE:	30 Sep 2024
	FREQUENCY:	The last Day of every 12 months
TREATMENT MC00141	SIGNOFF(S):	Alex Espey
Provide manual handling training / refreshers to all volunteers. May be in person or provision of online refresher opportunity	DUE DATE:	17 Oct 2024
	FREQUENCY:	17th day of every 12 months
TREATMENT MC00142	SIGNOFF(S):	Alex Espey
Ensure weekly inspections of fire appliance is being undertaken during fire season	DUE DATE:	01 Dec 2023
	FREQUENCY:	The first Day of every month
TREATMENT MC00143	SIGNOFF(S):	Alex Espey Chadd Hunt
Undertake Preseason Check of all appliances by qualified mechanic	DUE DATE:	18 Jan 2024
	FREQUENCY:	18th day of every month
TREATMENT MC00144	SIGNOFF(S):	Alex Espey
Provide vehicle report forms to all brigades to ensure damage or maintenance requirements are being identified	DUE DATE:	31 Mar 2024
	FREQUENCY:	The last Day of every 6 months
TREATMENT MC00145	SIGNOFF(S):	Alex Espey
Provide access to off-road training to all volunteers	DUE DATE:	30 Sep 2024
	FREQUENCY:	The last Day of every 12 months
TREATMENT MC00146	SIGNOFF(S):	Alex Espey
Memo to all brigade members in relation to requirement for bushfire appliance operators to obey road rules when on public roads at all times, unless an exemption is provided due to driver having undertaken necessary training	DUE DATE:	30 Sep 2024
	FREQUENCY:	The last Day of every 12 months
TREATMENT MC00147	SIGNOFF(S):	Alex Espey
Provide washing machines at all Fire Stations and encourage / recommend that all PPE be washed on site	DUE DATE:	30 Sep 2024
	FREQUENCY:	The last Day of every 12 months

RESIDUAL
9.6
HIGH

INHERENT
12.0

R00066

DEVELOPMENT SERVICES, HEALTH & SAFETY - BUSHFIRE VOLUNTEERS

Volunteer Training

Inadequate volunteer training could result in injury or death on fire ground

OWNER Chadd Hunt

CREATED 7/21/2023 2:44:26 PM

LIKELIHOOD Possible

SEVERITY Major

CONTROL EFFECTIVENESS Adequate

TREATMENT MC00148

Provide 2 sets of PPE to all active brigade members on their request.

SIGNOFF(S):

Alex Espey

DUE DATE:

01 Oct 2024

FREQUENCY:

The first Day of every 12 months

TREATMENT MC00149

Ensure minimum training standards for bushfire volunteers, including the leadership team, are endorsed by Council

SIGNOFF(S):

Alex Espey

DUE DATE:

20 Aug 2025

FREQUENCY:

The third Wednesday of every 24 months

TREATMENT MC00151

Have standard operating procedures in place

SIGNOFF(S):

Alex Espey

DUE DATE:

30 Sep 2024

FREQUENCY:

The last Day of every 12 months

TREATMENT MC00152

Ensure adequate training assessors are approved by DFES for the Shire of Northam

SIGNOFF(S):

Alex Espey

DUE DATE:

31 Jul 2024

FREQUENCY:

The last Day of every 12 months

TREATMENT MC00153

Provide volunteers with access to flexible training arrangements, with a particular focus on weeknight training to suit volunteers

SIGNOFF(S):

Alex Espey

DUE DATE:

01 Aug 2024

FREQUENCY:

The first Day of every 12 months

TREATMENT MC00154

Require minimum training before a volunteer can be active on the fire ground (utilising DFES guidelines) - reminder to be sent to all captains and volunteers

SIGNOFF(S):

Alex Espey

DUE DATE:

30 Sep 2024

FREQUENCY:

The last Day of every 12 months

TREATMENT MC00155

All volunteers to be required to undertake pre-season competency based training / annual induction prior to start of fire season

SIGNOFF(S):

Alex Espey

DUE DATE:

31 Oct 2024

FREQUENCY:

The last Day of every 12 months

TREATMENT MC00157

Review training records/registers to ensure they are up to date and utilised to identify training requirements

SIGNOFF(S):

Alex Espey

DUE DATE:

01 Aug 2024

FREQUENCY:

The first Day of every 12 months

RESIDUAL
9.6
 HIGH

INHERENT
12.0

R00055

ENGINEERING SERVICES, HEALTH & SAFETY - PUBLIC, REPUTATION - COMMUNITY

Inadequate Cleaning of Shire Facilities

Shire buildings and public amenities not regularly cleaned to and acceptable standard causing the following issues:
 - not regularly cleaned/sanitised, there is a chance of making people sick
 - not cleaned, community and visitors not satisfied
 Shire buildings and amenities may not be able to open to public or operate if not cleaned appropriately
 Paying too much for cleaning services is also a financial risk.

OWNER Paul Devcic
 CREATED 12/2/2020 11:11:13 AM
 LIKELIHOOD Likely
 SEVERITY Medium
 CONTROL EFFECTIVENESS Adequate

TREATMENT MC00109

Manage public tenders (RFT) for purchases over \$250,000 Excl. GST - Prepare Tender
 Conduct a public tender as per the Manage Tenders Process and in line with the Shire's Procurement Policy F4.2

TREATMENT MC00110

Have a contract in place for regular cleaning schedule in place in accordance with best cleaning practices
 Monthly inspection of toilets to be undertaken by Council staff

CHANGE(S) PENDING

SIGNOFF(S): Colin Young
 Kristy Hopkins

DUE DATE:

FREQUENCY: Once

SIGNOFF(S): Shane Moorhead

DUE DATE: 01 Jul 2024

FREQUENCY: The first Day of every 12 months

RESIDUAL
6.0
 MODERATE

INHERENT
20.0

R00032

DEVELOPMENT SERVICES, HEALTH & SAFETY

Inadequate Organisation and Community Emergency Management

Failure to adequately conduct Prevention, Preparation, Response and Recovery (PPRR) in the organisation structure and community elements, inclusive of the management of all emergencies. This includes;
 · Lack of (or inadequate) emergency response plans.
 · Lack of training to 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

(References: AS 3745; AS 1851; AIIMS 4 Management Principles)

OWNER Chadd Hunt
 CREATED 7/2/2019 1:42:30 PM
 LIKELIHOOD Likely
 SEVERITY Extreme
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00077

Functioning Local Emergency Management Committee, which meets quarterly

TREATMENT MC00078

Conduct at least 1 Emergency Management training exercise per year

TREATMENT MC00079

Conduct Inductions for Bush Fire Brigade Volunteer Members Annually

TREATMENT MC00080

Review Risk to Resources Document

SIGNOFF(S): Alex Espey
 Chadd Hunt

DUE DATE: 31 Jan 2024

FREQUENCY: The last Day of every 3 months

SIGNOFF(S): Alex Espey
 Chadd Hunt

DUE DATE: 30 Sep 2024

FREQUENCY: The last Day of every 12 months

SIGNOFF(S): Alex Espey
 Chadd Hunt

DUE DATE: 01 Oct 2024

FREQUENCY: The first Day of every 12 months

SIGNOFF(S): Alex Espey
 Chadd Hunt

DUE DATE: 30 Sep 2025

FREQUENCY: The last Day of every 24 months

<p>RESIDUAL 4.8 MODERATE</p> <p>INHERENT 16.0</p> <p>R00036</p>	<p>AMP - TRANSPORT, HEALTH & SAFETY</p> <p>Transport Assets not routinely inspected No formal safety & maintenance inspection procedures exist</p> <p>OWNER Paul Devcic CREATED 7/15/2019 4:35:25 PM</p> <p>LIKELIHOOD Likely SEVERITY Major CONTROL EFFECTIVENESS Strong</p>	<p>TREATMENT MC00088</p> <p>Transport Assets to be routinely inspected every 3 years (includes sealed and unsealed roads, kerbs and table drains. Excludes footpaths and piped drainage network)</p>	<p>SIGNOFF(S): Paul Devcic DUE DATE: 31 Jan 2024 FREQUENCY: The last Day of every 36 months</p>
	<p>TREATMENT MC00096</p> <p>Safety inspections carried out in response to Customer Service Requests by members of the public and Shire staff.</p>	<p>SIGNOFF(S): Paul Devcic DUE DATE: 30 Nov 2023 FREQUENCY: The last Day of every 3 months</p>	

<p>RESIDUAL 4.8 MODERATE</p> <p>INHERENT 16.0</p> <p>R00056</p>	<p>ENGINEERING SERVICES, HEALTH & SAFETY - PUBLIC</p> <p>Unsafe Playground equipment Shire playgrounds are not to a an acceptable standard causing the following issues: - Play Equipment is unsafe, there is a chance of injuring users - Play Equipment may not be open to public if it is unsafe and require repairs - Community and visitors unsatisfied</p> <p>OWNER Paul Devcic CREATED 7/5/2022 4:11:10 PM</p> <p>LIKELIHOOD Likely SEVERITY Major CONTROL EFFECTIVENESS Strong</p>	<p>TREATMENT MC00113</p> <p>Regular playground inspections to be completed on a monthly basis.</p>	<p>SIGNOFF(S): Paul Devcic Keith Boase DUE DATE: 30 Nov 2023 FREQUENCY: The last Day of every month</p>
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RESIDUAL
4.8
 MODERATE

INHERENT
16.0

R00022

CHIEF EXECUTIVES OFFICE, HEALTH & SAFETY - OCCUPATIONAL

Inadequate safety and security practices

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:

- 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 security protection measures in place for buildings, depots and other places of work (vehicle, community etc).
- Public Liability Claims, due to negligence or personal injury.
- Employee Liability Claims due to negligence or personal injury.
- Inadequate or unsafe modifications to plant & equipment

OWNER Debbie Terelinck
 CREATED 7/1/2019 2:46:30 PM

LIKELIHOOD Likely
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00041

Undertake OHS Audit

SIGNOFF(S): Janice Byers
 DUE DATE: 01 Sep 2025
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00042

Implement recommendations from OHS Audit & Report to Audit & Risk Committee

SIGNOFF(S): Janice Byers
 DUE DATE: 31 Jan 2024
 FREQUENCY: The last Day of every 4 months

TREATMENT MC00043

WHS Committee Meeting Regularly

SIGNOFF(S): Janice Byers
 Joanne Griffiths
 DUE DATE: 31 Dec 2023
 FREQUENCY: The last Day of every 3 months

TREATMENT MC00044

Toolbox meetings occurring and discussing safety (attach minutes/notes to sign off)

SIGNOFF(S): Paul Devcic
 DUE DATE: 30 Nov 2023
 FREQUENCY: The last Day of every month

TREATMENT MC00045

Senior Management Meeting (where the OSH system is reviewed and KPI's are measured as an agenda item)

OVERDUE
 SIGNOFF(S): Debbie Terelinck
 DUE DATE: 30 Sep 2023
 FREQUENCY: The last Day of every 6 months

TREATMENT MC00046

OHS Policy Framework in place and reviewed

SIGNOFF(S): Janice Byers
 DUE DATE: 31 Aug 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00095

Undertake Workplace Safety Inspections - Undertake Inspection OSH inspections undertaken for each site.

CHANGE(S) PENDING
 SIGNOFF(S): Colin Young
 Paul Devcic
 Debbie Terelinck
 DUE DATE: 30 Nov 2023
 FREQUENCY: The last Day of every month

RESIDUAL
4.5
 MODERATE

INHERENT
15.0

R00017

DEVELOPMENT SERVICES, HEALTH & SAFETY - PUBLIC

Inadequate Organisation and Community Emergency Management

Failure to adequately conduct Prevention, Preparation, Response and Recovery (PPRR) in the organisation structure and community elements, inclusive of the management of all emergencies. This includes;

- Lack of (or inadequate) emergency response plans.
- Lack of training to 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

(References: AS 3745; AS 1851; AIIMS 4 Management Principles)

OWNER Chadd Hunt

CREATED 6/19/2019 8:51:12 AM

LIKELIHOOD Possible

SEVERITY Extreme

CONTROL EFFECTIVENESS Strong

TREATMENT MC00027

Establishment of a 'functional' Local Emergency Management Committee, which meets six monthly

SIGNOFF(S):

Alex Espey

DUE DATE:

31 Mar 2024

FREQUENCY:

The last Day of every 6 months

TREATMENT MC00028

Current Local Emergency Management Arrangements & Recovery Plan

SIGNOFF(S):

Alex Espey
 Chadd Hunt

DUE DATE:

01 Nov 2024

FREQUENCY:

The first Day of every 24 months

TREATMENT MC00029

Run annual emergency management exercise

OVERDUE

SIGNOFF(S):

Alex Espey
 Chadd Hunt

DUE DATE:

01 Nov 2023

FREQUENCY:

The first Day of every 12 months

TREATMENT MC00030

Bush fire Risk Management Plan in Place

SIGNOFF(S):

Alex Espey
 Chadd Hunt

DUE DATE:

01 Sep 2024

FREQUENCY:

The first Day of every 12 months

TREATMENT MC00031

Fuel Loads risk register in place

OVERDUE

SIGNOFF(S):

Alex Espey
 Chadd Hunt

DUE DATE:

30 Sep 2023

FREQUENCY:

The last Day of every 12 months

RESIDUAL
3.6
 LOW

INHERENT
12.0

R00041

AMP - BUILDINGS, ENVIRONMENTAL - BUILT, HEALTH & SAFETY

Condition of buildings is unknown
 Council is unclear as to the condition of its building assets and therefore unable to make informed decisions, resulting in poor building condition and building safety concerns

OWNER Paul Devcic
 CREATED 7/16/2019 11:26:43 AM
 LIKELIHOOD Possible
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00019

Up to date and accurate building asset management plan in place

SIGNOFF(S): Paul Devcic
 Colin Young
 Shane Moorhead

DUE DATE: 01 Jun 2025
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00090

Revaluations of Council Building Assets (Fair Value)

SIGNOFF(S): Colin Young
 DUE DATE: 01 Feb 2027

FREQUENCY: The first Day of every 60 months

TREATMENT MC00093

Develop and maintain medium term building maintenance program to ensure future costs are understood

SIGNOFF(S): Shane Moorhead
 DUE DATE: 01 Nov 2024

FREQUENCY: The first Day of every 12 months

RESIDUAL
3.6
 LOW

INHERENT
12.0

R00048

MAJOR PROJECTS, FINANCIAL - OPERATIONAL, HEALTH & SAFETY, PROPERTY - LIABILITY, REPUTATION - COMMUNITY, STRATEGIC - COMMUNITY

Aquatic Facility - Ineffective Project Management
 Aquatic Facility Project not managed effectively

OWNER Debbie Terelinck
 CREATED 9/14/2020 2:23:26 PM
 LIKELIHOOD Possible
 SEVERITY Major
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00053

Project management framework in place, providing parameters for staff to operate within

SIGNOFF(S): Debbie Terelinck
 DUE DATE: 31 Jul 2024

FREQUENCY: The last Day of every 12 months

TREATMENT MC00054

Prepare Elected Members Monthly Report - Publish Monthly Report
 Major Project status reporting to Council (through monthly elected member report)

CHANGE(S) PENDING
 SIGNOFF(S): Tamika Van Beek

DUE DATE: 15 Dec 2023
 FREQUENCY: 15th day of every month

TREATMENT MC00064

Independent Project Superintendent appointed with requisite skills to acknowledge scale and complexity of this project

SIGNOFF(S): Debbie Terelinck

DUE DATE:
 FREQUENCY: Once

TREATMENT MC00067

Construction project progress reports to be provided

SIGNOFF(S): Debbie Terelinck

DUE DATE:
 FREQUENCY: Once

TREATMENT MC00068

Project Superintendent (Donovan Payne) reports to be provided monthly

SIGNOFF(S): Debbie Terelinck

DUE DATE:
 FREQUENCY: Once

TREATMENT MC00069
Financial variations to be signed off by Project Manager
SIGNOFF(S): Debbie Terelinck
DUE DATE:
FREQUENCY: Once

TREATMENT MC00070
All request for information and clarification to be signed off / cited by Council Project Manager
SIGNOFF(S): Debbie Terelinck
DUE DATE:
FREQUENCY: Once

TREATMENT MC00071
Project assessment / evaluation to be undertaken at completion and reported to audit committee
SIGNOFF(S): Debbie Terelinck
DUE DATE:
FREQUENCY: Once

TREATMENT MC00074
Project time delays to be signed off in accordance with contract
SIGNOFF(S): Debbie Terelinck
DUE DATE:
FREQUENCY: Once

RESIDUAL
3.6
LOW

INHERENT
12.0

R00049

MAJOR PROJECTS, HEALTH & SAFETY - OCCUPATIONAL
Aquatic Facility - Insufficient OHS in place for project
Contractor has insufficient systems, processes and practices in place to manage site OHS effectively for the Aquatic Facility Project
OWNER Debbie Terelinck
CREATED 9/14/2020 2:26:32 PM
LIKELIHOOD Possible
SEVERITY Major
CONTROL EFFECTIVENESS Strong

TREATMENT MC00065
OHS report required from contractor, including details of site their own OHS site inspections
SIGNOFF(S): Debbie Terelinck
DUE DATE:
FREQUENCY: Once

RESIDUAL
2.7
 LOW

INHERENT
9.0

R00024

CHIEF EXECUTIVES OFFICE, COMPLIANCE - POLICY, FINANCIAL - OPERATIONAL, HEALTH & SAFETY - OCCUPATIONAL

Inadequate Project Management

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

OWNER Debbie Terelinck
 CREATED 7/1/2019 3:20:45 PM

LIKELIHOOD Possible
 SEVERITY Medium
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00053

Project management framework in place, providing parameters for staff to operate within

SIGNOFF(S): Debbie Terelinck
 DUE DATE: 31 Jul 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00054

Prepare Elected Members Monthly Report - Publish Monthly Report
 Major Project status reporting to Council (through monthly elected member report)

CHANGE(S) PENDING
 SIGNOFF(S): Tamika Van Beek
 DUE DATE: 15 Dec 2023
 FREQUENCY: 15th day of every month

TREATMENT MC00055

Internal audit of project and major project (as defined by corporate business plan) management framework compliance.

SIGNOFF(S): Debbie Terelinck
 DUE DATE: 31 May 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00057

Manage Major Projects - Project Performance and Control
 Provides process for managing projects

CHANGE(S) PENDING
 SIGNOFF(S): Paul Devcic
 Debbie Terelinck
 DUE DATE: 30 Sep 2024
 FREQUENCY: The last Day of every 12 months

TREATMENT MC00159

Review project management framework to ensure it remains appropriate/relevant.

SIGNOFF(S): Debbie Terelinck
 DUE DATE: 31 Jan 2024
 FREQUENCY: The last Day of every 12 months

RESIDUAL
2.7
 LOW

INHERENT
9.0

R00025

CHIEF EXECUTIVES OFFICE, COMMUNITY SERVICES, CORPORATE SERVICES, DEVELOPMENT SERVICES, ENGINEERING SERVICES, FINANCIAL - OPERATIONAL, HEALTH & SAFETY - OCCUPATIONAL, SERVICE INTERRUPTION

Inadequate Supplier / Contract Management

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
- Vendor sustainability

It does not include failures in the tender process; refer "Inadequate Procurement, Disposal or Tender Practices".

OWNER Colin Young

CREATED 7/1/2019 3:54:58 PM

LIKELIHOOD Possible

SEVERITY Medium

CONTROL EFFECTIVENESS Strong

TREATMENT MC00160

Have an external legal review of standard contract documents every three years.

SIGNOFF(S):

Kristy Hopkins

DUE DATE:

31 Jul 2024

FREQUENCY:

The first Day of every 36 months

TREATMENT MC00161

Internal audit of one major contract for compliance every 12 months.

SIGNOFF(S):

Kristy Hopkins
 Britt Hadlow

DUE DATE:

31 Aug 2024

FREQUENCY:

The last Day of every 12 months

7.8 Shire of Northam IT Back Up Recovery Plan

File Reference:	1.4.1.15
Reporting Officer:	Kunal Sarma (Business Systems Coordinator)
Responsible Officer:	Colin Young (Executive Manager Corporate Services)
Officer Declaration of Interest:	Nil
Voting Requirement:	Simple Majority
Press release to be issued:	No

BRIEF

Council adopted the IT Disaster Recovery Plan in 2020. As part of the adoption certain contingency measures of backup were put in place, while there were recommendations that were not adopted. This report explores a component of disaster recovery and business continuity practice and how to put this into practice through the implementation of a backup recovery service at an off-site location.

ATTACHMENTS

1. C S- P L-03 IT Disaster Recovery Plan V 1.1 a [7.8.1 - 12 pages]

A. BACKGROUND / DETAILS

This report outlines the policies and procedures for technology disaster recovery as well as process level plans for recovering critical technology platforms. In the event of a disaster situation, the aim is to ensure information system uptime, data integrity and availability and business continuity.

The principal objective of the disaster recovery program is to develop, test and document a well-structured plan that will help the Shire to recover quickly and effectively as possible from an unanticipated disaster or emergency that interrupts business operations.

B. CONSIDERATIONS

B.1 Strategic Community / Corporate Business Plan

Performance Area: Performance. Outcome 12: Excellence in organisational performance and customer service.

Objective 12.1: Maintain a high standard of corporate governance and financial management.

Priority Action 12.1.1: Provide the community with an annual explanation

of the Shire's short and long term financial commitments and overall financial health.

B.2 Financial / Resource Implications

To implement a full offsite backup server, the financial cost to consider is as below:

Offsite Server Expenditure	Cost
Annual Cost	\$19,200
Set up Cost (one off)	\$1,600
Hardware Cost (\$2000 per annum for 3 years)	\$6,000
Total Cost 2023/24	\$26,800

This expenditure can be accommodated within the 2023/24 budget for ICT.

B.3 Legislative Compliance

Office of the Auditor General Western Australia – Local Government Compliance Framework and regulatory framework under the Local Government Act 1995.

B.4 Policy Implications

To implement an ICT backup and Disaster Recovery plan.

B.5 Stakeholder Engagement / Consultation

Key stakeholders are J H Computer Services (managed ICT service provider for local governments) and Shire officers.

B.6 Risk Implications

Refer to Risk Matrix [here](#).

Risk Category	Description	Rating (likelihood x consequence)	Mitigation Action
Financial	In the event of a disaster the implications are expected to be high	Likely X Major	Investing in offsite backup.
Health & Safety	Building damage and Cyber-attack (information leak) likely to impact safety	Possible x Medium	Investing in offsite backup & staff training.

Reputation	Lack of an ICT BCDR is damaging to the reputation of the council	Possible x Medium	Investing in offsite backup.
Service Interruption	Lack of BCDR will cause service interruptions	Almost Certain x Major	Investing in offsite backup.
Compliance	N/A		
Property	N/A		
Environment	N/A		

B.7 Natural Environment Considerations

Nil

C. OFFICER'S COMMENT

It is recognised that the Shire needs to invest in the recommendations in the ICT Business Continuity and Disaster Recovery Plan.

While there is a financial implication, the outcome of implementing the ICT Business Continuity and Disaster Recovery Plan will be a worthwhile investment in the event of a disaster.

RECOMMENDATION

That the Audit & Risk Management Committee endorses the following recommendation being presented to Council:

- 1. That Council requests the Chief Executive Officer to implement a new backup and disaster recovery server to be hosted at an offsite location for business continuity aligned with the ICT Business Continuity and Disaster Recovery Plan.**



Shire of Northam
Heritage, Commerce and Lifestyle

Shire of Northam

ICT Business Continuity and Disaster Recovery Plan

ICT Business Continuity and Disaster Recovery Plan



Revision History

Revision	Date	Name
Draft 1	17/01/2020	Daniel Goldman (JH Computer Service)
Draft 1	26/02/2020	Colin Young
Draft 1	26/02/2020	Colin Young
Draft 1	26/02/2020	David Sparrow
Draft 1	27/02/2020	David Sparrow
Draft 1	27/02/2020	Colin Young
V1	18/03/2020	Adopted by Council
Draft 1.1	02/11/2023	Kunal Sarma
Draft 1.1	06/11/2023	Colin Young
Draft 1.1	01/12/2023	Review by Audit Committee
V 1.1	TBA	Adopted by Council

ICT Business Continuity and Disaster Recovery Plan



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ICT Business Continuity and Disaster Recovery Plan



Information Technology Statement of Intent

This document delineates our policies and procedures for technology disaster recovery, as well as our process-level plans for recovering critical technology platforms and the telecommunications infrastructure. This document summarizes the Shires recommended procedures. In the event of an actual emergency situation, modifications to this document may be made to ensure physical safety of our people, our systems, and our data.

Our mission is to ensure information system uptime, data integrity and availability, and business continuity.

Objectives

The principal objective of the disaster recovery program is to develop, test and document a well-structured and easily understood plan which will help the company recover as quickly and effectively as possible from an unforeseen disaster or emergency which interrupts information systems and business operations. Additional objectives include the following:

- The need to ensure that all employees fully understand their duties in implementing such a plan
- The need to ensure that operational policies are adhered to within all planned activities
- The need to ensure that proposed contingency arrangements are cost-effective
- The need to consider implications on all Shire sites

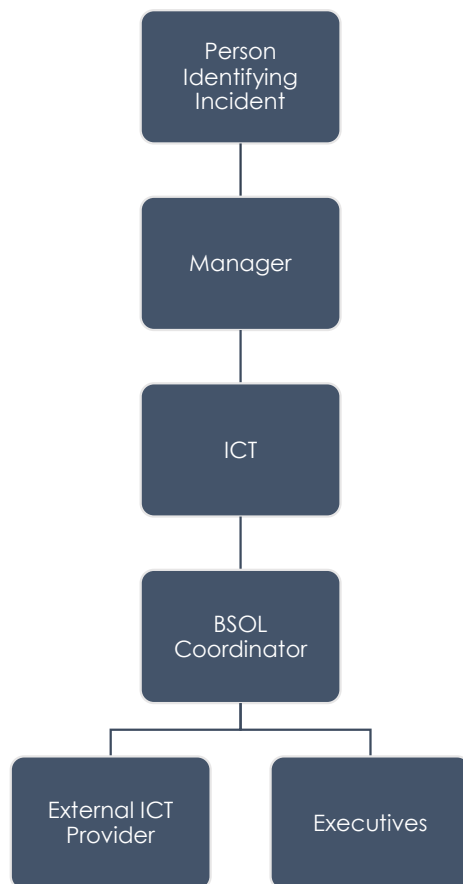
Key Personnel Contact Information

Name, Company, Title	Contact Option	Contact Number
Kunal, Shire of Northam	Work	9622 6154
Business Solutions Coordinator	Mobile	0436 660 316
	Email Address	bsolcoord@northam.wa.gov.au
Robert, Shire of Northam	Work	9622 6171
ICT Officer	Mobile	0417 746 474
	Email Address	ict@northam.wa.gov.au
Daniel, JHCS	Work	08 9367 9499
System Administrator	Mobile	0409 124 178
	Email Address	support@jhcs.com.au
Tim, JHCS	Work	08 9367 9499
General Manager	Mobile	0413 842 244
	Email Address	support@jhcs.com.au
Colin, Executive Manager Corporate Services	Work	08 9622 6122
	Mobile	0418 9080 506
	Email Address	emcorps@northam.wa.gov.au

ICT Business Continuity and Disaster Recovery Plan



Notification Calling Tree



ICT Business Continuity and Disaster Recovery Plan



1 Plan Overview

1.1 Plan Updating

It is necessary for the DRP updating process to be properly structured and controlled. Whenever changes are made to the plan they are to be fully tested. This document is to be reviewed every 2 years.

1.2 Executive Summary

A Business Continuity and Disaster Recovery plan is an essential component of risk management and operational continuity. It provides a structured approach to safeguarding our organization against unexpected disruptions such as natural disasters, cybersecurity incidents, data loss, and other unforeseen crises. The absence of such a plan leaves us vulnerable to potential risks and operational downtime, which could have severe financial and reputational repercussions.

1.3 Backup Strategy

Key business processes and the agreed backup strategy for each are listed below. The strategy chosen is for a backup mirrored offsite to be located at Councils External IT provider.

1.3.1 Current Backup Status

Upon assessment it has been found that we do not have an offsite dedicated server for disaster recovery in place which is considered a best practice approach. While we may have some isolated contingency measures, these are insufficient to address the broad spectrum of risks and challenges that our organization might face. Urgent Need for Investment

Investing in a dedicated offsite server is not an option but a strategic imperative for several compelling reasons:

1.3.2 Risk Mitigation:

A dedicated offsite server helps mitigate the risks associated with operational disruptions, reducing the potential impact on our operations, data, and finances.

1.3.3 Compliance:

Various industry regulations and standards require organizations to have a comprehensive BCDR plan. Non-compliance can lead to legal and financial penalties.

1.3.4 Stakeholder Confidence:

Clients, partners, and stakeholders increasingly expect organizations to have robust contingency plans. Demonstrating our commitment to safeguarding critical information and ensuring service continuity enhances their confidence in our organization.

ICT Business Continuity and Disaster Recovery Plan



1.3.5 Operational Resilience:

A comprehensive BCDR plan not only addresses recovery from disasters but also strengthens our overall operational resilience. It enables us to adapt swiftly to changing circumstances and maintain a competitive edge.

1.4 Risk Management

There are many potential disruptive threats which can occur at any time and affect the normal business process. We have considered a wide range of potential threats, and the results of our deliberations are included in this section. Each potential environmental disaster or emergency has been examined. The focus here is on the level of business disruption which could arise from each type of disaster.

Potential disasters have been assessed as follows based on the Shires Risk Matrix:

Potential Disaster	Probability Rating	Impact Rating
Flood	1	2
Fire	2	4
Act of sabotage	1	4
Loss of communications network services	5	2

Risk Matrix, Consequence and Likelihood Tables

Risk Matrix

The following matrix matches the severity of outcomes to the likelihood of occurrence.

	CONSEQUENCE				
LIKELIHOOD	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Extreme (5)
Rare (1)	Low	Low	Low	Low	Low
Unlikely (2)	Low	Low	Low	Medium	Medium
Possible (3)	Low	Low	Medium	Medium	Medium
Likely (4)	Low	Medium	Medium	High	High
Almost certain (5)	Low	Medium	Medium	High	Extreme

Likelihood Table

Likelihood and frequency of events tend to vary between disciplines and functional areas.

Level	Likelihood	Expected or actual frequency experienced
1	Rare	May only occur in exceptional circumstances; simple process; no previous incidence of non-compliance

ICT Business Continuity and Disaster Recovery Plan



2	Unlikely	Could occur at some time; less than 25% chance of occurring or re-occurring; non-complex process &/or existence of checks and balances
3	Possible	Might occur at some time; 25 – 50% chance of occurring or re-occurring; previous audits/reports indicate non-compliance; complex process with extensive checks & balances; impacting factors outside control of organisation
4	Likely	Will probably occur in most circumstances; 50-75% chance of occurring or re-occurring; complex process with some checks & balances; impacting factors outside control of organisation
5	Almost certain	Can be expected to occur in most circumstances; more than 75% chance of occurring or re-occurring; complex process with minimal checks & balances; impacting factors outside control of organisation

If there is an opportunity to make quick changes to the site to mitigate or eliminate immediate risk, these will be taken. The hierarchy of options as per the Hierarchy of Controls in the Occupational Safety and Health procedures.

Elimination- Most effective

Substitution, Isolation or Engineering Controls- Where resource constraints exist.

Use of Personal Protective Equipment and procedural minimisation of exposure- the least effective at minimising risk because they do not control the hazard at the source and rely on human behaviour and supervision.

Consequence Table

The following is a guide to determining consequence. The applicability of the operational definitions of each category of consequence will vary.

Level & descriptor	Health Impacts	Critical services interruption	Organizational outcomes/objectives	Reputation and image per issue	Non-compliance
Insignificant (1)	First aid or equivalent only	No material disruption	Little impact	Non-headline exposure, not at fault; no impact	Innocent procedural breach; evidence of good faith; little impact
Minor (2)	Routine medical attention required (up to 2 weeks incapacity)	Short term temporary suspension – backlog cleared < 1 day	Inconvenient delays	Non-headline exposure, clear fault settled quickly; negligible impact	Breach; objection/complaint lodged; minor harm with investigation

ICT Business Continuity and Disaster Recovery Plan



Moderate (3)	Increased level medical attention (2 weeks to 3 months incapacity)	Medium term temporary suspension – backlog cleared by additional resources	Material delays; marginal under-achievement of target performance	Repeated non-headline exposure; slow resolution; Ministerial enquiry/briefing	Negligent breach; lack of good faith evident; performance review initiated
Major (4)	Severe health crisis (incapacity beyond 3 months)	Prolonged suspension of work – additional resources required; performance affected	Significant delays; performance significantly under target	Headline profile; repeated exposure; at fault or unresolved complexities; ministerial involvement	Deliberate breach or gross negligence; formal investigation; disciplinary action; ministerial involvement
Catastrophic (5)	Multiple severe health crises/injury or death	Indeterminate prolonged suspension of work; non performance	Non achievement of objective/ outcome; performance failure	Maximum high level headline exposure; Ministerial censure; loss of credibility	Serious, wilful breach; criminal negligence or act; prosecution; dismissal; ministerial censure

2 Emergency Response

2.1 Alert, escalation and plan invocation

2.1.1 Plan Triggering Events

Key trigger issues onsite that would lead to activation of the DRP are:

- Total loss of all communications
- Total loss of power (Admin Centre)
- Flooding of the premises (Admin Centre)
- Loss of a Shire building
- Act of sabotage internal/external

2.1.2 Activation of Emergency Response Team

When an incident occurs the Emergency Response Team (ERT) must be activated. The ERT will then decide the extent to which the DRP must be invoked. All Shire building managers must be issued a Quick Reference card containing ERT contact details to be used in the event of a disaster. Responsibilities of the ERT are to:

ICT Business Continuity and Disaster Recovery Plan



- Respond immediately to a potential disaster and call emergency services;
- Assess the extent of the disaster and its impact on the Shire, data centre, etc.;
- Decide which elements of the DR Plan should be activated;
- Establish and manage disaster recovery team to maintain vital services and return to normal operation;
- Ensure employees are notified and allocate responsibilities and activities as required.

2.2 Disaster Recovery Team

The team will be contacted and assembled by the ERT. The team's responsibilities include:

- Establish facilities for an emergency level of service within 2.0 business hours;
- Restore key services within 4.0 business hours of the incident;
- Recover to business as usual within 8.0 to 24.0 hours after the incident;
- Coordinate activities with disaster recovery team, first responders, etc.
- Report to the emergency response team.

2.3 Emergency Alert, Escalation and DRP Activation

This policy and procedure have been established to ensure that in the event of a disaster or crisis, personnel will have a clear understanding of who should be contacted. Procedures have been addressed to ensure that communications can be quickly established while activating disaster recovery.

The DR plan will rely principally on key members of management and staff who will provide the technical and management skills necessary to achieve a smooth technology and business recovery. Suppliers of critical goods and services will continue to support recovery of business operations as the Shire returns to normal operating mode.

2.3.1 Emergency Alert

The person discovering the incident calls a member of the Emergency Response Team in the order listed:

The Emergency Response Team (ERT) is responsible for activating the DRP for disasters identified in this plan, as well as in the event of any other occurrence that affects the company's capability to perform normally.

One of the tasks during the early stages of the emergency is to notify the Disaster Recovery Team (DRT) that an emergency has occurred. The notification will request DRT members to assemble at the site of the problem and will involve enough information to have this request effectively communicated. If required a Business Recovery Team (BRT) will be established, consisting of senior representatives from Shire departments. The BRT Leader will be an executive manager (or their delegate) and will be responsible for taking overall charge of the process and ensuring that the company returns to normal working operations as early as possible.

2.3.2 DR Procedures for Management

Members of the management team will keep a hard copy of the names and contact numbers of each employee in their departments.

ICT Business Continuity and Disaster Recovery Plan



2.3.3 Contact with Employees

Managers will serve as the focal points for their departments, while designated employees will call other employees to discuss the crisis/disaster and the company’s immediate plans. Employees who cannot reach staff on their call list are advised to call the staff member’s emergency contact to relay information on the disaster.

3 Recovery Procedure

3.1 Flood Disaster Recovery

Event	Site destroyed by flood
Mitigation	Backup replication to offsite location and backup NBN internet links at satellite sites.
What to do	Restore servers on hardware located at offsite location and configure remote VPN for users to access data and software.
Expected Downtime	4 business days

3.2 Fire Disaster Recovery

Event	Site destroyed by fire
Mitigation	Backup replication to offsite location and backup NBN internet links at satellite sites.
What to do	Restore servers on hardware located at offsite location and configure remote VPN for users to access data and software.
Expected Downtime	4 business days

3.3 Act of Sabotage

Event	Disgruntled employee destroys data
Mitigation	Regular server backups
What to do	Restore from onsite backups
Expected Downtime	1-3 business days

3.4 Loss of communication or network

Event	TPG network outage
Mitigation	Backup NBN links at each site
What to do	No works required auto failover
Expected Downtime	None

4 Recommendations

1. New backup / Disaster Recovery server designed to be hosted at an offsite location to be used to recover all servers. This will ensure if the server rack is destroyed for any reason the downtime can be minimised.
 - a. A backup / DR storage hosted at Create298 or the Recreation Centre would provide for quicker local access to critical data / services in the event of extended network link outages.
 - b. A backup / DR server configured to also serve as an ICT test environment regularly mirrored from the live production environment would not only allow for

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better change management reducing risk to the live production environment but also would even further minimise downtime by becoming the live production environment in the event of a primary site / server loss.

2. Staff training – Ensure all staff are notified about disaster reporting and procedures to ensure minimal downtime.
3. Creation of a detailed hardcopy of procedures and checklist.

5 Costing to consider for BCDR

Offsite Server Expenditure	Cost
Annual Cost	\$ 19,200
Set Up cost (one off)	\$ 1,600
Hardware (2,000 per annum, 3 years)	\$ 6,000
Total Cost	
2023/24	\$ 26,800

7.9 Progress Towards the Regulation 17 Review

File Reference:	8.2.7.1
Reporting Officer:	Britt Hadlow (Governance Coordinator)
Responsible Officer:	Debbie Terelinck (Chief Executive Officer)
Officer Declaration of Interest:	Nil
Voting Requirement:	Simple Majority
Press release to be issued:	No

BRIEF

To provide Council with an update of the progress made towards the Regulation 17 Review Action Plan that was presented to the Ordinary Council Meeting for adoption on 21 December 2022.

This report aims to establish a level of accountability in respect to completing the actions identified through the Regulation 17 Review to ensure that the Shire's risk management, internal controls and legislative compliance is appropriate and effective.

ATTACHMENTS

1. Regulation 17 Action Plan Tracker [7.9.1 - 3 pages]

A. BACKGROUND / DETAILS

Section 17 of the *Local Government (Audit) Regulations 1996* requires the Chief Executive Officer to review the appropriateness and effectiveness of the Council's systems and procedures as they relate to the following areas:

- Risk management
- Internal controls, and
- Legislative compliance

The review is required to be conducted at least every three years.

The Chief Executive Officer carried out the review internally. A report has been prepared identifying the findings from the review along with recommendations (if applicable). These findings and recommendations have been developed into an Action Plan and provided in Attachment 1.

B. CONSIDERATIONS

B.1 Strategic Community / Corporate Business Plan

Performance Area: Performance. Outcome 12: Excellence in organisational performance and customer service.

Objective 12.1: Maintain a high standard of corporate governance and financial management.

Priority Action 12.1.4: Provide internal auditing capabilities (including providing additional human or financial resources) and publish findings annually.

B.2 Financial / Resource Implications

Staffing resources are required in order to action the recommendations detailed within the BPR Action Plan

B.3 Legislative Compliance

Local Government (Administration) Regulations 1996 – Regulation 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.

B.4 Policy Implications

Nil.

B.5 Stakeholder Engagement / Consultation

Nil.

B.6 Risk Implications

Refer to Risk Matrix [here](#).

Risk Category	Description	Rating (likelihood x consequence)	Mitigation Action
Financial	Revenue loss to the Shire	Rare (1) x Minor (2) = Low (2)	Managed by ensuring good practices.
Health & Safety	Nil.		
Reputation	Disruption to current service.	Rare (1) x Minor (2) = Low (2)	Ensure IT and other services are

			managed professionally.
Service Interruption	Potential for IT and Administrative disruption.	Rare (1) x Insignificant (1) = Low (1)	Ensure changes are managed professionally.
Compliance	Not compliant with legislation.	Rare (1) x Minor (2) = Low (2)	Review legislation regularly.
Property	Nil.		
Environment	Nil.		

B.7 Natural Environment Considerations

Nil.

C. OFFICER'S COMMENT

This initial review indicated that the Shire of Northam is proactive in managing risk, internal controls and legislative compliance as well as taking the necessary steps to ensure appropriate risk management, internal controls and legislative compliance policies and practices are in place.

Officers are working towards addressing the recommendations from the review whilst continuing the improvements already underway in order to achieve an optimum levels of risk management, internal controls and legislative compliance into the future. The Action Plan has been provided in Attachment 1 with an update of the progress made towards the recommendations.

Key to table:

Completed

No Action

Underway

RECOMMENDATION

That the Audit and Risk Management Committee endorses the following recommendation being presented to Council:

- 1. That Council receives the December 2023 update as provided in Attachment 1 in relation to the progress made towards the Regulation 17 Action Plan.**

Regulation 17 Action Plan Tracker

Number	Area	Control	Recommendation	Responsible Officer	Progress To Date	Status
1	1. Risk Management	1.1 Reviewing whether the local government has an effective risk management system and that material operating risks to the local government are appropriately considered;	Review Risk Management Policy	Alysha McCall	15/03/2023 - Policy adopted by Council.	Completed
2	1. Risk Management	1.1 Reviewing whether the local government has an effective risk management system and that material operating risks to the local government are appropriately considered;	Develop a Risk Management Process	Alysha McCall	14/04/2023 - Framework and Process is set out in risk policy, process in Promapp not required. Committee has reviewed the overall risk register framework and is reviewing each individual risk area at each of their meetings.	Completed
3	1. Risk Management	1.2 Reviewing whether the local government has a current and effective business continuity plan (including disaster recovery) which is tested from time to time;	Review a Business Continuity Plan	Britt Hadlow	1/9/2023 No progress. 3/11/2023 No progress.	No Action
4	1. Risk Management	1.2 Reviewing whether the local government has a current and effective business continuity plan (including disaster recovery) which is tested from time to time;	Review the IT Disaster Recovery Plan	Colin Young	12/04/2023 have sought input from Councils external ICT provider. 17/07/2023 external ICT provider has provided with a quote for a BCDR plan - need to review. 1/12/2023 An ICT BDDR plan has been developed and will be presented to the Audit Committee on the 6 December 2023.	Completed
5	1. Risk Management	1.2 Reviewing whether the local government has a current and effective business continuity plan (including disaster recovery) which is tested from time to time;	Establish a program to test the Business Continuity Plan and IT Disaster Recovery Plan annually to ensure efficacy.	Britt Hadlow, Colin Young, Kunal Sarma	12/04/2023 Have liaised with external ICT provider JH Computers to organize a testing phase for the IT Disaster recovery and Business Continuity plan. 05/05/2023 Preparing on how to carry out the IT Disaster recovery plan. Waiting for JH Computers to provide more information on the existing backups and system recovery. 2/06/2023 - Awaiting to hear back from Tim from JH Computers. 7/07/2023 - JH Computers have provided quote for a complete BCDR plan - need to review. We don't have a full-fledged working BCDR plan in place. 23/08/2023 - To present document for review in Sept. 1/9/2023 Business Continuity Plan pending 1.1 being completed. 03/11/2023 - BCDR document has been updated with the relevant costing to consider for. And needs to go to committee to review.	Underway
6	1. Risk Management	1.3 Assessing the internal processes for determining and managing material operating risks in accordance with the local government's identified tolerance for risk, particularly in the following areas: 1.10 Ascertaining whether fraud and misconduct risks have been identified, analysed, evaluated, have an appropriate treatment plan which has been implemented, communicated, monitored and there is regular reporting and ongoing management of fraud and misconduct risks.	Review the Fraud and Corruption Plan prior to June 2023.	Alysha McCall	31/07/2023 - Reviewed plan being presented to Audit & Risk Management Committee on 22 August 2023. 29/8/2023 - Pending adoption by Council - 20 Sept. 6/10/2023 - Minor amendments being made then complete.	Completed

Number	Area	Control	Recommendation	Responsible Officer	Progress To Date	Status
7	1. Risk Management	1.3Assessing the internal processes for determining and managing material operating risks in accordance with the local government's identified tolerance for risk, particularly in the following areas;	Develop internal audit framework to include audits on identified risks in the Fraud and Corruption Control Plan.	Alysha McCall	01/08/2023 - Risks treatments to be audited bi-monthly on rotation (i.e. 50% audited each month).	Completed
8	1. Risk Management	1.3Assessing the internal processes for determining and managing material operating risks in accordance with the local government's identified tolerance for risk, particularly in the following areas;	Implement an annual review and sign off for the Code of Conduct for Employees, Volunteers, Contractors and Agency Staff.	Janice Byers		No Action
9	1. Risk Management	1.3Assessing the internal processes for determining and managing material operating risks in accordance with the local government's identified tolerance for risk, particularly in the following areas;	Provide staff with specific training on fraud controls and conducting investigations.	Janice Byers		No Action
10	1. Risk Management	1.3Assessing the internal processes for determining and managing material operating risks in accordance with the local government's identified tolerance for risk, particularly in the following areas;	Review ICT Strategy prior to June 2024.	Colin Young, Kunal Sarma	Yet to review the current strategy that the Shire has in place and then work from there. 05/05/2023 - Yet to review and then create the strategy 02/06/2023 - Yet to review and then create the strategy 7/07/2023 - Yet to review existing document in place 23/08/2023 - Not yet started reviewing. 03/11/2023 - ICT security policy for fileserver has been created and will be incorporated in Promapp's. This will be part of the ICT strategy document as well (which is creation process).	Underway
11	1. Risk Management	1.5Assessing the adequacy of Local Government processes to manage insurable risks and ensure the adequacy of insurance cover, and if applicable, the level of self-insurance;	Implement systems to ensure appropriate insurance is maintained where required by the Shire of Northam for leases and licenses.	Alysha McCall	06/02/2023 - Documenting within Smartsheet leased properties and the requirements with respect to insurance. Review yet to be undertaken comparing the property insurance register to lease register. 1/08/2023 - A review was undertaken for leased properties against the insurance property register to ensure appropriate insurance is maintained. An annual review has been incorporated as an action on the CEO Office Annual Delivery Plan.	Completed
12	2. Internal Control	2.2Control of approval of documents, letters and financial records;	Staff to be provided with training/reminder of need to register certain documents whilst limiting access.	Britt Hadlow, Janice Byers	Developing a suite of weekly 'Did you know' alerts to staff in addition with training videos for registering documents. 1/9/2023 Monthly updates to be communicated to staff. 13/10/23 Commenced.	Completed
13	2. Internal Control	2.3Limit of direct physical access to assets and records;	Store physical lease and licence records in the Records room to ensure records are appropriately administered.	Britt Hadlow	Cabinet moved on 21/04/2023.	Completed
14	2. Internal Control	2.8Comparison of the result of physical cash and inventory counts with accounting records.	Develop process and procedure for offsite stock management.	Kristy Hopkins		10% Underway

Number	Area	Control	Recommendation	Responsible Officer	Progress To Date	Status
15	3. Legislative Compliance	3.1 Reviewing the annual Compliance Audit Return and reporting to council the results of that review;	Have the Compliance Audit Return (CAR) undertaken independently once in every three years (next due for 2023 period) CAR completed progressively on a monthly basis as part of internal audit process.	Britt Hadlow	01/02/2023 - No progress able to be taken until second quarter of 2023/24. Sourcing quotes to include in 2023/24 budget. 12/04/2023 - Quotes sought and budget request submitted for 2023/24. 1/08/2023 - Included in 2023/24 budget. 1/9/2023 - Budget approved - seeking quotes. 6/10/2023 - Finalising quote. 21/10/2023 - Consultant engaged.	Underway
16	3. Legislative Compliance	3.2 How management is monitoring the effectiveness of its compliance and making recommendations for change as necessary;	Report non-compliances identified through internal audits to the Executive Management monthly meeting.	Alysha McCall, Tamika Van Beek	Executive Managers Meeting Agenda template (V8) has been updated and uploaded in to Promapps. This version will commence use in March 2023	Completed
17	3. Legislative Compliance	3.3 Reviewing whether the local government has procedures for it to receive, retain and treat complaints, including confidential and anonymous employee complaints;	Review the Customer Service Charter	Codey Redmond	No Progress	No Action
18	3. Legislative Compliance	3.3 Reviewing whether the local government has procedures for it to receive, retain and treat complaints, including confidential and anonymous employee complaints;	Review the Manage Complaints Process incorporating the following: a) Translating services being provided where appropriate. b) Special arrangements that may be required for responding to particular client groups. c) Reference to the public interest disclosure and misconduct processes. d) Declaring interests. e) The Ombudsman's Conducting Investigations Guidelines. f) The Ombudsman's Procedural Fairness Guidelines. g) A review process in which the Complaint Handling Officer's decision is reviewed by a suitably experienced colleague/superior before the complaint is finalised. h) An independent internal review process. i) Consideration towards establishing a designated Complaint Handling Officer. j) A system for analysing complaint information to enable continuous improvement.	Alysha McCall	01/02/2023 - Limited. 12/04/2023 - Review underway. 4/07/2023 - Complaints process and website updated. Waiting for finalisation of process for complaints relating to council member breaches of the code of conduct. 01/08/2023 - Policy for council member breaches of the code of conduct has been workshopped with council and to be presented to the August OCM for endorsement. 16/08/2023 - Policy endorsed for Council member breaches of the code of conduct which is incorporated into the complaints process.	Completed
19	3. Legislative Compliance	3.3 Reviewing whether the local government has procedures for it to receive, retain and treat complaints, including confidential and anonymous employee complaints;	Review the information available on the Shire of Northam website incorporating the following: a) Providing clear information that complaints are handled at no charge. b) Providing the information in the form of other languages and incorporating a "Listen" option.	Alysha McCall, Colin Young	01/02/2023 - Requested quote for 'Listen' feature 12/04/2023 - Feature implemented.	Completed
20	3. Legislative Compliance	3.3 Reviewing whether the local government has procedures for it to receive, retain and treat complaints, including confidential and anonymous employee complaints;	Include the effectiveness of the complaint handling system within the internal audit framework.	Alysha McCall, Colin Young	1/08/2023 - Complaint audit implemented commencing July 2023.	Completed

7.10 Progress Towards the Financial Management Review

File Reference:	8.2.7.4
Reporting Officer:	Tamika Van Beek (Governance Officer)
Responsible Officer:	Colin Young (Executive Manager Corporate Services)
Officer Declaration of Interest:	Nil.
Voting Requirement:	Simple Majority
Press release to be issued:	No

BRIEF

For the Audit & Risk Management Committee to receive a progress report for the Financial Management System Review report.

ATTACHMENTS

1. Financial Management Review Action Plan [**7.10.1** - 3 pages]

A. BACKGROUND / DETAILS

Macri Partners Pty Ltd were engaged to conduct the review for the period 1 July 2021 to 30 April 2022. In accordance with Regulation 5(2)(c) of the *Local Government Financial Management Regulations 1996* Council is required to review its financial system to ensure its appropriateness and effectiveness at least once every three years.

This report is to provide details on the progress that has been made against the recommendations within the Financial Management Review

B. CONSIDERATIONS

B.1 Strategic Community / Corporate Business Plan

Performance Area: Performance. Outcome 12: Excellence in organisational performance and customer service.

Objective 12.1: Maintain a high standard of corporate governance and financial management.

Priority Action: Nil.

B.2 Financial / Resource Implications

Nil.

B.3 Legislative Compliance

Local Government Act (1995) Section 7.12A & Local Government Financial Management Regulations 1996 Regulation 5(2)(c)

B.4 Policy Implications

Nil.

B.5 Stakeholder Engagement / Consultation

Nil.

B.6 Risk Implications

Refer to Risk Matrix [here](#).

Risk Category	Description	Rating (likelihood x consequence)	Mitigation Action
Financial	Nil.	Nil.	Nil.
Health & Safety	Nil.	Nil.	Nil.
Reputation	Nil.	Nil.	Nil.
Service Interruption	Nil.	Nil.	Nil.
Compliance	Nil.	Nil.	Nil.
Property	Nil.	Nil.	Nil.
Environment	Nil.	Nil.	Nil.

B.7 Natural Environment Considerations

Nil.

C. OFFICER'S COMMENT

The Auditor raised a number of findings within the Financial Management Systems Review that need to be addressed to ensure that best practices are being followed. The issues raised are contained in Attachment 1. The auditor's report provided recommendations on the best way to resolve the issues and additionally management comments have been put in place as well as actions taken. The level of risk for eight of the issues were considered moderate and five raised were low.

During the audit meeting held on 22 August 2023 Council requested that Officers review the audit report with the aim of closing the following actions:

Action 15 – an audit was carried out on the actual cash taking from the shared till and it was found that on average external customers carried out 2

transactions per day. The average daily take from external customers is \$280. This till is also used for internal transactions relating to the Visitor Center, BFB, Recreation Centre and Library which were not included in the audit as any cash is placed directly into the safe rather than the till.

Action 18 – discussions with ReadyTech have revealed that the move to Altus will solve this problem.

Action 23 – an internal security policy has been developed and it is in the process of being added to the Risk Register with prompts to check staff security levels annually.

Key to table:

Completed

No Action

Underway

RECOMMENDATION

That the Audit and Risk Management Committee endorse the following recommendation being presented to Council:

That Council:

- 1. Receives the update as provided in Attachment 1 in relation to the progress made towards the Financial Management Systems Review Action Plan.**
- 2. Acknowledge the Recommended Actions from the Financial Management System Review are considered completed and not require the item to be provided in the future.**

Number	Finding	Recommendation / Solution	Expected Completion	Responsibility	Progress To Date	Status
1	Bank Reconciliations - Bank reconciliations not being dated by reviewer.	1. The date of bank reconciliation review should be documented.	July 2022	Corporate Services / Finance	Monthly bank reconciliations are sent to Accountant for review and the accountant signs and confirms the bank rec.	Completed
2	Investments - Shire does not have a formally established and documented internal control procedures for investments.	1.An Investment Procedural Guideline should be drafted and adopted by the Shire that should be followed by employees to ensure control over investments and also to be compliant with S.19 of the Local Government (Financial Management) Regulations 1996. 2.The Shire should also establish and maintain an investment register indicating the name of the financial institute, amount of the investment, term of the investment and date of maturity.	July 2022	Corporate Services / Finance	1.An investment process has been established and will be added to PROMAPPS 2.An investment register was created and is reported monthly to council and includes the recommended information.	Completed
3	Investment Policy - The Shire's Investment Policy has not been reviewed by the Shire in the 2021 year as required by the policy.	1.The Investment Policy should be reviewed and presented to Council as required by the policy at the earliest and update the policy if required based on the investment objectives of the Shire	February 2023	Corporate Services / Finance	Investment Policy Updated	Completed
4	Investment Policy - The Shire's investment policy F.4.3 requires that investments be spread to ensure that no single financial institute holds more than 50% of the Shire's investments.	1.The Shire should look at restructuring its investments at the earliest to comply with the requirements of the investment policy and minimise its exposure to financial risks.	February 2023	Corporate Services / Finance	Investments now meet the guidelines of the policy.	Completed
5	Procurement of goods and services - The same staff issued and approved the purchase orders, receipted the goods/services, and also authorised the related supplier invoices.	1.Management should implement appropriate segregation of duties, particularly between authorisation of purchase order and approving relevant supplier invoices.	February 2023	Corporate Services / Procurement	Process edit is pending loading in Promaps where all purchase orders are to be checked for compliance by credit officer. A P.O initiator can also be an authoriser for approved authorising thresholds however compliance will be verified by credit officer. 13/04/23 this procedure has been revamped and the Creditors Officer now signs the purchase order is compliant	Completed
6	Procurement Policy - Policy allows for minor variations , however the minor variation is not specified.	1.The procurement policy should define a minor variation	February 2023	Corporate Services / Procurement	Procurement policy updated,	Completed
7	Credit Cards - Credit card statements had no documentary evidence of review by an officer independent of the cardholder	1.The monthly credit card statements of all credit cardholders should be reviewed by a senior officer independent of the cardholder and the reviewer should initial and date the credit card statement to indicate that the review was done in a timely manner	November 2022	Corporate Services / Finance	Credit cards statements being reviewed by both Senior Finance officer and the accountant. Accountant signs and dates the credit card statement	Completed
8	Creditors - Monthly Creditor reconciliations not dated by reviewer.	1.The reviewer should indicate the date of review on the monthly creditor reconciliations	July 2022	Corporate Services / Finance / Procurement	Monthly Creditor reports and reconciliations reviewed by accountant signed and dated.	Completed
9	Rates – Rate debts outstanding for more than 3 years approximately 29% of the total rates debts outstanding.	1.The recoverability of all long outstanding rate debts should be reviewed by the management and appropriate action be taken to recover them without delay. 2.Also the need to create a provision for doubtful debts in the annual financial report should be reviewed.	December 2022	Corporate Services / Finance	1.Of the current outstanding debt \$340,000 is related to one subdivision that that was held by a now insolvent company Council lawyers are progressing with legal action against the Outstanding debt. 2.The Annual Financial Report currently has a provision for doubtful debts which includes rate debt that is expected to be written off in the next 12 months.	Completed
10	Debtors - 86% of the total sundry debtors have been outstanding for more than 90 days	1.The recoverability of all long outstanding sundry debts should be reviewed by the management and appropriate action be taken to recover them without delay. 2.Also the need to create a provision for doubtful debts in the annual financial report should be reviewed	December 2022	Corporate Services / Finance	1.Majority of the then reported Percentage was a capital grant from DFES which came through in June 22. debtors are reviewed monthly and the necessary follow ups are done. Accountant dates and signs of the monthly review. 2.No Action-The Annual Financial Report currently has a provision for doubtful debts	Completed
11	Creditors - Retention money for goods and services paid out tom supplier and the supplier set as a debtor	1.The management should ensure there are adequate controls in place to prevent erroneous payments to suppliers	July 2022	Corporate Services / Procurement	Procedures have been put in place to ensure retentions are withheld correctly	Completed
12	Credit Note Requisitions - Shire does not use a formal credit requisition form to raise credit notes relating to sundry debtors. Instead, credit notes are raised based on email requests from the staff requesting the credit note	1.The Shire should develop and use a formal credit note requisition form to be authorised by the responsible officer when a credit note needs to be raised.	February 2023	Corporate Services / Finance	1.Credit note requisition form created pending approval. 2.Credit note requisition process to be added in pro maps by Feb 23 13/04/2023, has been approved and added to promapps	Completed

Number	Finding	Recommendation / Solution	Expected Completion	Responsibility	Progress To Date	Status
13	Cancellation of Receipts - The Shire does not have a formally established and documented internal control procedure for cancellation of receipts.	1.The Shire should develop and use a documented internal control procedural guideline for the benefit of the relevant staff	February 2023	Corporate Services / Finance	Receipt Cancellation procedure documents done and added into promaps by Feb 23	Completed
14	Daily Receipting - There was no documentary evidence of a review of the daily receipting report.	1.The daily receipting report should be reviewed by an officer independent of the receipting function and the evidence of such review should be documented. Any discrepancies should be investigated and rectified without delay	July 2022	Corporate Services / Finance	Receipting batches are reviewed daily, and discrepancies are investigated at that point by the Senior Finance Officer. Senior Finance Signs and dates the batches.	Completed
15	Front Counter Cash Register - All operators of the front counter cash register use the same password.	1.The management should seek the possibility of introducing different passwords for each operator or introducing documented procedures to minimise the risk of unauthorised or fraudulent transactions occurring.	July 2024	Corporate Services / Finance	October 2023, Difficult to implement with the current ERP. To be resolved once we migrate to Altus staff have run an audit report that shows eft and cash payments that go through the cash register from external customers over a 2 month period average cash daily was calculated at \$280 per day. We recommend closing off this issue as there is minimal fraudulent activity that can occur considering the receipts are balanced everyday to synergy.	Completed
16	Payroll - Employee termination payment calculations were not evidenced as being reviewed and approved by a senior staff of the Shire.	1.Recommend that calculations of all termination payments are independently reviewed and the review be evidenced on the calculation sheet and it be retained.	July 2022	Corporate Services / Finance	These are currently being reviewed by both Senior Finance officer and Accountant who both sign and date the calculation sheet.	Completed
17	Payroll - We noted that in 3 out of 6 employee fortnightly payments we tested, there was no deduction authority in two instances and also anomalies were found in the amount deducted in one instance.	1.We recommend that supporting documents in respect of all deductions are retained and also care is taken to ensure that deductions are made in accordance with the deduction authority provided by the employees.	N/A	Corporate Services / Finance	Current procedures have all deduction amounts recorded against personal files.	Completed
18	Payroll - Employee pay slips show penalty as normal hours.	1.We recommend that management investigates this matter and take appropriate measures to rectify the issue.	October 2023	Corporate Services / Finance	October 2023, Altus payroll will resolve the issue when rolled out. Currently all the casuals that work on a Saturday will have the penalty rate appearing as normal hours. we however have very few casuals working on a Saturday as most casuals work Monday to Friday and during ordinary hours. When the issue was raised only 2 casuals had the payslip showing normal hours. We recommend closing the issue until roll out of Altus payroll.	Completed
19	General Journals - The same officer prepares and posts the journal entry without an independent review by a second officer.	1.We recommend that a senior person independent of the preparer reviews and authorises all journal entries before they are processed and evidence of authorisation retained.	July 2022	Corporate Services / Finance	Journals are signed off by either the Accountant, Senior Finance Officer or Exec Manager Corporate services.	Completed
20	General Journals - The Shire does not have a comprehensive documented policy or procedural guideline for general journals.	1.recommend that management develops and implements a comprehensive policy and procedures for the general journal process. The policy should be approved by the Council prior to being implemented.	February 2023	Corporate Services / Finance	More of a procedure guideline to be documented rather than a policy. Journals are done by Finance personnel and currently only the EMCS, Senior Accountant and senior finance officer can post journals. A guideline for journal procedure to be documented however currently the process is one initiates the journal and sends to another officer for authorisation.	Completed
21	Fixed Assets - Currently there is no process of formally documenting the disposal of assets i.e. Asset Disposal Form, and obtaining managements approval prior to disposal of individual assets.	1.We recommend that management introduce an Asset Disposal/Deletion form to formalise the asset disposals/deletions process, which should also be subject to appropriate authorisation.	December 2022	Corporate Services / Finance	Asset disposal form created, and procedure documented and uploaded in pro maps	Completed
22	Fixed Assets Reconciliation - That the monthly fixed asset reconciliations for the months of August 2021 to February 2022 have not been dated by the reviewer and the reconciliations for the months of March and April 2022 were not performed at the time of the review.	1.We recommend that monthly fixed asset reconciliations are performed in a timely manner and reviewed by an officer independent of the preparer and evidence of such review be documented on the reconciliation.	December 2022	Corporate Services / Finance	Fixed assets reconciled monthly by Senior Finance Officer and sent to Accountant for review. Accountant signs and dates.	Completed

Number	Finding	Recommendation / Solution	Expected Completion	Responsibility	Progress To Date	Status
23	IT Security Policy - The Shire does not have a formal (IT) Security Policy. Furthermore there is no formal process to review user access rights and privileges in the system to ensure they are in line with the responsibilities of individual staff member's roles/positions.	1.The Shire should develop a formal IT Security Policy and also ensure user access rights are periodically reviewed to ensure they are in line with individual staff roles and responsibilities.	N/A	Corporate Services / ICT	No Action July 2023 - there are certain security policy groups in place which enables only certain users with privileges to access those files in G drive. Further security can be enhanced where cross department access can be restricted and individuals cannot access certain files & folders. And user can be given access upon managers approval. October 2023, An internal ICT policy has been written which includes the process to review users with access rights to restricted files annually.	Completed

7.11 Progress Towards the ICT Strategy Plan

File Reference:	1.1.9.1
Reporting Officer:	Tamika Van Beek (Governance Officer)
Responsible Officer:	Colin Young (Executive Manager Corporate Services)
Officer Declaration of Interest:	Nil.
Voting Requirement:	Simple Majority
Press release to be issued:	No

BRIEF

To provide Council with an update on the progress made towards the ICT Strategy Plan.

This report aims to establish a level of accountability in respect to completing the actions identified through the audit undertaken by LGIS in 2019 in order to ensure that continuous improvement with ICT occurs within the organisation.

ATTACHMENTS

1. ICT Strategic Plan Action Plan [7.11.1 - 2 pages]

A. BACKGROUND / DETAILS

The Shire of Northam is moving through a significant period of change and development. In recognition of this and the need to ensure that it can continue to meet the aspirations of the community, the Shire has undertaken to put in place a number of Strategic and Business Plans to deliver short-, medium and long-term objectives. The Shire committed to strategic planning and leadership, focused on strengthening our community, providing growth, and diversifying the local economy.

One such Plan is the ICT Strategy Plan and this report provides an update on implementation of the actions associated with this Plan.

B. CONSIDERATIONS

B.1 Strategic Community / Corporate Business Plan

Performance Area: Prosperity.

Outcome 10: An attractive destination for investors, business and visitors;

helping to grow the economy and local jobs.
 Objective 10.1: Pursue economic growth, innovation and diversification.
 Priority Action: Nil.

B.2 Financial / Resource Implications

To be advised / determined

B.3 Legislative Compliance

Local Government Act 1995 and relevant subsidiary legislation.

B.4 Policy Implications

Nil.

B.5 Stakeholder Engagement / Consultation

Nil.

B.6 Risk Implications

Refer to Risk Matrix [here](#).

Risk Category	Description	Rating (likelihood x consequence)	Mitigation Action
Financial	Lack of investment into ICT	Possible (3) x Medium (3) = Moderate (9)	ICT Strategic / forward planning involving stakeholders to determine needed and desired current and future outcomes that can be budgeted for.
Health & Safety	EOL/less than WHS ideal ICT hardware, RF and prolonged machine noise exposure	Possible (3) x Medium (3) = Moderate (9)	EOL hardware replacement decisions to consider WHS requirements. Suitable placement or enclosures for noisy ICT gear such as servers and switches.
Reputation	Slow take up of new technologies	Likely (4) x Minor (2) = Moderate (8)	ICT Team continuing to engage with Shire stakeholders, 3 rd party vendors, and

			other councils re: current and emerging technologies and methods of delivering desired services.
Service Interruption	Nil.	Nil.	Nil.
Compliance	Nil.	Nil.	Nil.
Property	Nil.	Nil.	Nil.
Environment	Nil.	Nil.	Nil.

B.7 Natural Environment Considerations

Nil.

C. OFFICER'S COMMENT

ICT services are presently provided to approximately 130 employees across the following sites – Administration Centre, Northam depot, Northam and Wundowie libraries, Bilya Koort Boodja Cultural centre, Visitor centre, Killara adult day care, Northam aquatic facility, the Wundowie swimming pool, Bush Fire Brigade facilities, as well as to the community and stakeholders. This ICT Strategic Plan establishes a course of action to guide the future development and delivery of ICT services for the Shire of Northam.

Key to table:

Completed

No Action

Underway

RECOMMENDATION

That the Audit & Risk Management Committee endorses the following recommendations being presented to Council:

- 1. That Council receives the update as provided in Attachment 1 in relation to the progress made towards implementation of the ICT Strategic Plan.**

Number	Area for Further Development	Recommendation / Action	Timeframe	Responsibility	Progress To Date	Status
1	Governance	ICT decisions and operations within the Shire will be controlled and guided through a formalised ICT Governance framework. This framework will ensure the alignment of ICT activities with business priorities.	2021 / 2026	Corporate Services / ICT	Draft strategic and operations plans developed. SLAs to be determined. February 2022 Update: In early discussions with external provider regarding SLAs. August 2022 Update: No progress. December 2022 Update: No progress. April 2023 - to review and work on it.	Underway
2	Emerging Trends and Technologies	ICT policies and procedures need to be current enabling the organisation to conduct considered reviews of emerging technologies and trends, to ensure they meet current and emerging needs of the organisation.	2021 / 2026	Corporate Services / ICT	Acceptable Use and BYOD policies adopted.	Completed
3	Business Systems and Applications	Appropriately managed business systems and applications will help consolidate and streamline business processes.	2021 / 2026	Corporate Services / ICT	Inventory Register established. RFO re: potential CRM/RMS upgrade/migration from Synergysoft occurring. February 2022 Update: Tenders have been received and staff will be evaluation and expecting to present to the next Audit Committee meeting. May 2022 Update: No progress. August: Staff are expecting to receive an overview of the Altus System within the month, this will then determine the best way forward. Feb 2023 Data Cleaning in process. COA restructuring project will be commencing soon. April 2023 - COA restructuring underway. July 2023 - Go live with new COA. Aug 2023 - New COA restructuring completed and currently used in Synergy. Staff's are being trained on using the new codes. Discovery phase for Health/Planning/Building modules through Greenlight to commence for 3 days starting 15th August 2023. Parallely to run HR ,module workshop through Pulse.	Underway
4	Infrastructure and Technology	ICT has extensive assets and services under management. The best value and maximum benefit from this investment can only be obtained if suitably managed.		Corporate Services / ICT	Systems manual to be developed. Network communications infrastructure plan to be developed. February 2022 Update: No progress. May 2022 Update: No progress. August 2022, limited progress made largely around the Shires CCTV infrastructure which is having a needs assessment carried out. December 2022 Update: No progress. April 2023 - To investigate and enquire with Telstra if they have any open nodes available across Fitzgerald St to rent lines to connect the CCTV poles in order to reduce the congestion in the wireless link for the CCTV infrastructure. July 2023 - To update the existing document as per Shire strategy for grant funding and improving the current CCTVs in place. November 2023 - CCTV Strategy and Audit Complete	Completed
5	Disaster Recovery	ICT needs to work with the organisation to establish mission critical services and ensure that disaster recovery and business continuity plans meet current and emerging needs	2021 / 2026	Corporate Services / ICT	Adhoc DR / Business Continuity plan in place and partially tested. Data retention plan developed	Completed

Number	Area for Further Development	Recommendation / Action	Timeframe	Responsibility	Progress To Date	Status
6	Security	The threat of cyber security incidents continues to rise. The Shire needs to develop and implement security policies and procedures to meet this increasing threat.	2021 / 2026	Corporate Services / ICT	<p>Ongoing development and training will always be occurring.</p> <p>May 2022 Update: No progress.</p> <p>August 2022, No progress.</p> <p>Februarys 2022 Update: No progress.</p> <p>April 2023 - Currently Northam has in place Rocket cyber with is a 24/7 managed security operations centre (SOC) which monitors for any unusual activity on the network including the 365 tenancy , Datto SAAS protection is the 365 tennacy backups, Datto defence is software that sits in the 365 tenancy and monitors for any injected code into emails, phishing and ransomware attacks on teams, Sharepoint, Outlook, OneDrive . Datto EDR is endpoint detection and remediation . EDR is designed to sit between AV and SOC services and protect endpoints from any unusual activity. And we have Trend AV on all machines</p> <p>July 2023 - Existing Cybersecurity in place is currently functioning well. Next phase is enabling Office365 MFA (multifactor authentication).</p> <p>November 2023 - MFA identification is currently being rolled out and now covers 50% of Staff. In Addition the ICT Disaster Recovery Plan has also been updated.</p>	Underway
7	Project Management	The effective delivery of ICT projects requires a suitable management framework to be implemented	2022	Corporate Services / ICT	<p>Project Management ICT Procedure to be developed.</p> <p>February 2022 Update: No progress.</p> <p>August 2022 Update: No progress.</p> <p>December 2022 Update: No progress.</p> <p>April 2023 - to review and develop a frame work</p> <p>May 2023 - yet to review and develop</p> <p>July 2023 - Project Management document currently available reviewing that document.</p> <p>November 2023 - Project Management Document has been reviewed and signed off on.</p>	Completed

8 URGENT BUSINESS APPROVED BY DECISION

Nil.

9 DATE OF NEXT MEETING

Proposed meeting dates:

- 29 February 2024 at 5:30pm.
- 23 May 2024 at 5:30pm.
- 29 August 2024 at 5:30pm.
- 28 October 2024 at 5:30pm.

10 DECLARATION OF CLOSURE