



Dandaragan - Compliance Audit Return 2020

Certified Copy of Return

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

Commercial Enterprises by Local Governments					
No	Reference	Question	Response	Comments	Respondent
1	s3.59(2)(a) F&G Regs 7,9,10	Has the local government prepared a business plan for each major trading undertaking that was not exempt in 2020?	N/A		Brent Bailey
2	s3.59(2)(b) F&G Regs 7,8,10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2020?	N/A		Brent Bailey
3	s3.59(2)(c) F&G Regs 7,8,10	Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in 2020?	N/A		Brent Bailey
4	s3.59(4)	Has the local government complied with public notice and publishing requirements for each proposal to commence a major trading undertaking or enter into a major land transaction or a land transaction that is preparatory to a major land transaction for 2020?	N/A		Brent Bailey
5	s3.59(5)	During 2020, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority?	N/A		Brent Bailey



Delegation of Power/Duty					
No	Reference	Question	Response	Comments	Respondent
1	s5.16	Were all delegations to committees resolved by absolute majority?	N/A		Brent Bailey
2	s5.16	Were all delegations to committees in writing?	N/A		Brent Bailey
3	s5.17	Were all delegations to committees within the limits specified in section 5.17?	N/A		Brent Bailey
4	s5.18	Were all delegations to committees recorded in a register of delegations?	N/A		Brent Bailey
5	s5.18	Has council reviewed delegations to its committees in the 2019/2020 financial year?	N/A		Brent Bailey
6	s5.42(1) & s5.43 Admin Reg 18G	Did the powers and duties delegated to the CEO exclude those listed in section 5.43 of the Act?	Yes		Brent Bailey
7	s5.42(1)	Were all delegations to the CEO resolved by an absolute majority?	Yes		Brent Bailey
8	s5.42(2)	Were all delegations to the CEO in writing?	Yes		Brent Bailey
9	s5.44(2)	Were all delegations by the CEO to any employee in writing?	Yes		Brent Bailey
10	s5.16(3)(b) & s5.45(1)(b)	Were all decisions by the council to amend or revoke a delegation made by absolute majority?	Yes		Brent Bailey
11	s5.46(1)	Has the CEO kept a register of all delegations made under Division 4 of the Act to the CEO and to employees?	Yes		Brent Bailey
12	s5.46(2)	Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2019/2020 financial year?	Yes		Brent Bailey
13	s5.46(3) Admin Reg 19	Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record in accordance with Admin Reg 19?	Yes		Brent Bailey

Disclosure of Interest					
No	Reference	Question	Response	Comments	Respondent
1	s5.67	Where a council member disclosed an interest in a matter and did not have participation approval under sections 5.68 or 5.69, did the council member ensure that they did not remain present to participate in discussion or decision making relating to the matter?	Yes		Brent Bailey



No	Reference	Question	Response	Comments	Respondent
2	s5.68(2) & s5.69 (5) Admin Reg 21A	Were all decisions regarding participation approval, including the extent of participation allowed and, where relevant, the information required by Admin Reg 21A, recorded in the minutes of the relevant council or committee meeting?	N/A		Brent Bailey
3	s5.73	Were disclosures under section sections 5.65, 5.70 or 5.71A(3) recorded in the minutes of the meeting at which the disclosures were made?	Yes		Brent Bailey
4	s5.75 Admin Reg 22, Form 2	Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day?	N/A		Brent Bailey
5	s5.76 Admin Reg 23, Form 3	Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2020?	Yes		Brent Bailey
6	s5.77	On receipt of a primary or annual return, did the CEO, or the mayor/president, give written acknowledgment of having received the return?	Yes		Brent Bailey
7	s5.88(1) & (2)(a)	Did the CEO keep a register of financial interests which contained the returns lodged under sections 5.75 and 5.76?	Yes		Brent Bailey
8	s5.88(1) & (2)(b) Admin Reg 28	Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70, 5.71 and 5.71A, in the form prescribed in Admin Reg 28?	Yes		Brent Bailey
9	s5.88(3)	When a person ceased to be a person required to lodge a return under sections 5.75 and 5.76, did the CEO remove from the register all returns relating to that person?	Yes		Brent Bailey
10	s5.88(4)	Have all returns removed from the register in accordance with section 5.88(3) been kept for a period of at least five years after the person who lodged the return(s) ceased to be a person required to lodge a return?	Yes		Brent Bailey
11	s5.89A(1), (2) & (3) Admin Reg 28A	Did the CEO keep a register of gifts which contained a record of disclosures made under sections 5.87A and 5.87B, in the form prescribed in Admin Reg 28A?	Yes		Brent Bailey
12	s5.89A(5) & (5A)	Did the CEO publish an up-to-date version of the gift register on the local government's website?	Yes		Brent Bailey
13	s5.89A(6)	When a person ceases to be a person who is required to make a disclosure under section 5.87A or 5.87B, did the CEO remove from the register all records relating to that person?	N/A		Brent Bailey



No	Reference	Question	Response	Comments	Respondent
14	s5.89A(7)	Have copies of all records removed from the register under section 5.89A (6) been kept for a period of at least five years after the person ceases to be a person required to make a disclosure?	Yes		Brent Bailey
15	Rules of Conduct Reg 11(1), (2) & (4)	Where a council member had an interest that could, or could reasonably be perceived to, adversely affect the impartiality of the person, did they disclose the interest in accordance with Rules of Conduct Reg 11(2)?	Yes		Brent Bailey
16	Rules of Conduct Reg 11(6)	Where a council member disclosed an interest under Rules of Conduct Reg 11 (2) was the nature of the interest recorded in the minutes?	Yes		Brent Bailey
17	s5.70(2) & (3)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report?	Yes		Brent Bailey
18	s5.71A & s5.71B (5)	Where council applied to the Minister to allow the CEO to provide advice or a report to which a disclosure under s5.71A(1) relates, did the application include details of the nature of the interest disclosed and any other information required by the Minister for the purposes of the application?	N/A		Brent Bailey
19	s5.71B(6) & s5.71B(7)	Was any decision made by the Minister under subsection 5.71B(6) recorded in the minutes of the council meeting at which the decision was considered?	N/A		Brent Bailey
20	s5.103 Admin Regs 34B & 34C	Has the local government adopted a code of conduct in accordance with Admin Regs 34B and 34C to be observed by council members, committee members and employees?	Yes		Brent Bailey
21	Admin Reg 34B(5)	Has the CEO kept a register of notifiable gifts in accordance with Admin Reg 34B(5)?	Yes		Brent Bailey

Disposal of Property

No	Reference	Question	Response	Comments	Respondent
1	s3.58(3)	Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) (unless section 3.58(5) applies)?	N/A		Brent Bailey
2	s3.58(4)	Where the local government disposed of property under section 3.58(3), did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property?	N/A		Brent Bailey



Elections						
No	Reference	Question	Response	Comments	Respondent	
1	Elect Regs 30G(1) & (2)	Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the forms relating to each candidate?	N/A		Brent Bailey	
2	Elect Regs 30G(3) & (4)	Did the CEO remove any disclosure of gifts forms relating to an unsuccessful candidate, or a successful candidate that completed their term of office, from the electoral gift register, and retain those forms separately for a period of at least two years?	N/A		Brent Bailey	
3	Elect Regs 30G(5) & (6)	Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with Elect Reg 30G(6)?	N/A		Brent Bailey	

Finance						
No	Reference	Question	Response	Comments	Respondent	
1	s7.1A	Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Act?	Yes		Brent Bailey	
2	s7.1B	Where the council delegated to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority?	N/A		Brent Bailey	
3	s7.3(1) & s7.6(3)	Was the person or persons appointed by the local government to be its auditor appointed by an absolute majority decision of council?	N/A	Due to s7.3(1A)	Brent Bailey	
4	s7.3(3)	Was the person(s) appointed by the local government under s7.3(1) to be its auditor a registered company auditor or an approved auditor?	Yes		Brent Bailey	
5	s7.9(1)	Was the auditor's report for the financial year ended 30 June 2020 received by the local government by 31 December 2020?	Yes		Brent Bailey	
6	s7.12A(3)	Where the local government determined that matters raised in the auditor's report prepared under s7.9 (1) of the Act required action to be taken, did the local government ensure that appropriate action was undertaken in respect of those matters?	Yes		Brent Bailey	



No	Reference	Question	Response	Comments	Respondent
7	s7.12A(4)(a)	Where matters identified as significant were reported in the auditor's report, did the local government prepare a report that stated what action the local government had taken or intended to take with respect to each of those matters?	Yes		Brent Bailey
8	s7.12A(4)(b)	Where the local government was required to prepare a report under s.7.12A(4)(a), was a copy of the report given to the Minister within three months of the audit report being received by the local government?	Yes		Brent Bailey
9	s7.12A(5)	Within 14 days after the local government gave a report to the Minister under s7.12A(4)(b), did the CEO publish a copy of the report on the local government's official website?	Yes		Brent Bailey
10	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives and scope of the audit, a plan for the audit, details of the remuneration and expenses paid to the auditor, and the method to be used by the local government to communicate with the auditor?	Yes		Brent Bailey
11	Audit Reg 10(1)	Was the auditor's report for the financial year ending 30 June received by the local government within 30 days of completion of the audit?	Yes		Brent Bailey

Integrated Planning and Reporting

No	Reference	Question	Response	Comments	Respondent
1	Admin Reg 19C	Has the local government adopted by absolute majority a strategic community plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	Adopted at Council Meeting held 27 June 2019 - Item 9.4.2	Brent Bailey
2	Admin Reg 19DA (1) & (4)	Has the local government adopted by absolute majority a corporate business plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	Adopted at Council Meeting held 28 November 2019 - Item 9.4.1	Brent Bailey
3	Admin Reg 19DA (2) & (3)	Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)?	No	Review commenced but not completed as at 31 December 2020	Brent Bailey



Local Government Employees					
No	Reference	Question	Response	Comments	Respondent
1	Admin Reg 18C	Did the local government approve a process to be used for the selection and appointment of the CEO before the position of CEO was advertised?	N/A		Brent Bailey
2	s5.36(4) & s5.37 (3) Admin Reg 18A	Were all CEO and/or senior employee vacancies advertised in accordance with Admin Reg 18A?	N/A		Brent Bailey
3	Admin Reg 18E	Was all information provided in applications for the position of CEO true and accurate?	N/A		Brent Bailey
4	Admin Reg 18F	Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position under section 5.36(4)?	N/A		Brent Bailey
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss senior employee?	N/A		Brent Bailey
6	s5.37(2)	Where council rejected a CEO's recommendation to employ or dismiss a senior employee, did it inform the CEO of the reasons for doing so?	N/A		Brent Bailey

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

Optional Questions					



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No	Reference	Question	Response	Comments	Respondent
1	Financial Management Reg 5 (2)(c)	Did the CEO review the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with Financial Management Reg 5(2)(c) within the three years prior to 31 December 2020? If yes, please provide the date of council's resolution to accept the report.	Yes	28 November 2019	Brent Bailey
2	Audit Reg 17	Did the CEO review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Audit Reg 17 within the three years prior to 31 December 2020? If yes, please provide date of council's resolution to accept the report.	Yes	28 November 2019	Brent Bailey
3	s5.87C(2)	Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift?	Yes		Brent Bailey
4	s5.87C	Where a disclosure was made under sections 5.87A or 5.87B, did the disclosure include the information required by section 5.87C?	Yes		Brent Bailey
5	s5.90A(2)	Did the local government prepare and adopt by absolute majority a policy dealing with the attendance of council members and the CEO at events?	Yes		Brent Bailey
6	s.5.90A(5)	Did the CEO publish an up-to-date version of the attendance at events policy on the local government's official website?	Yes		Brent Bailey
7	s5.96A(1), (2), (3) & (4)	Did the CEO publish information on the local government's website in accordance with sections 5.96A(1), (2), (3), and (4)?	Yes		Brent Bailey
8	s5.128(1)	Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members?	Yes		Brent Bailey
9	s5.127	Did the local government prepare a report on the training completed by council members in the 2019/2020 financial year and publish it on the local government's official website by 31 July 2020?	Yes		Brent Bailey
10	s6.4(3)	By 30 September 2020, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June 2020?	Yes		Brent Bailey



Tenders for Providing Goods and Services					
No	Reference	Question	Response	Comments	Respondent
1	F&G Reg 11A(1) & (3)	Does the local government have a current purchasing policy that complies with F&G Reg 11A(3) in relation to contracts for other persons to supply goods or services where the consideration under the contract is, or is expected to be, \$250,000 or less or worth \$250,000 or less?	Yes		Brent Bailey
2	F&G Reg 11A(1)	Did the local government comply with its current purchasing policy in relation to the supply of goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less?	Yes		Brent Bailey
3	s3.57 F&G Reg 11	Subject to F&G Reg 11(2), did the local government invite tenders for all contracts for the supply of goods or services where the consideration under the contract was, or was expected to be, worth more than the consideration stated in F&G Reg 11(1)?	Yes		Brent Bailey
4	F&G Regs 11(1), 12(2), 13, & 14(1), (3), and (4)	When regulations 11(1), 12(2) or 13 required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with F&G Reg 14(3) and (4)?	Yes		Brent Bailey
5	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than a single contract?	N/A		Brent Bailey
6	F&G Reg 14(5)	If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer notice of the variation?	Yes		Brent Bailey
7	F&G Regs 15 & 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of F&G Regs 15 and 16?	Yes		Brent Bailey
8	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of F&G Reg 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website?	Yes		Brent Bailey
9	F&G Reg 18(1)	Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender?	N/A		Brent Bailey



No	Reference	Question	Response	Comments	Respondent
10	F&G Reg 18(4)	Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept?	Yes		Brent Bailey
11	F&G Reg 19	Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted?	Yes		Brent Bailey
12	F&G Regs 21 & 22	Did the local government's advertising and expression of interest processes comply with the requirements of F&G Regs 21 and 22?	N/A		Brent Bailey
13	F&G Reg 23(1) & (2)	Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice?	N/A		Brent Bailey
14	F&G Reg 23(3)	Were all expressions of interest that were not rejected assessed by the local government?	N/A		Brent Bailey
15	F&G Reg 23(4)	After the local government considered expressions of interest, did the CEO list each person considered capable of satisfactorily supplying goods or services as an acceptable tenderer?	N/A		Brent Bailey
16	F&G Reg 24	Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with F&G Reg 24?	N/A		Brent Bailey
17	F&G Regs 24AD(2) & (4) and 24AE	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with F&G Reg 24AD(4) and 24AE?	N/A		Brent Bailey
18	F&G Reg 24AD(6)	If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application notice of the variation?	N/A		Brent Bailey
19	F&G Reg 24AF	Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of F&G Reg 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application?	N/A		Brent Bailey
20	F&G Reg 24AG	Did the information recorded in the local government's tender register about panels of pre-qualified suppliers comply with the requirements of F&G Reg 24AG?	N/A		Brent Bailey



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No	Reference	Question	Response	Comments	Respondent
21	F&G Reg 24AH(1)	Did the local government reject any applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time, specified in the invitation for applications?	N/A		Brent Bailey
22	F&G Reg 24AH(3)	Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept?	N/A		Brent Bailey
23	F&G Reg 24AI	Did the CEO send each applicant written notice advising them of the outcome of their application?	N/A		Brent Bailey
24	F&G Regs 24E & 24F	Where the local government gave regional price preference, did the local government comply with the requirements of F&G Regs 24E and 24F?	N/A		Brent Bailey

I certify this Compliance Audit Return has been adopted by council at its meeting on _____

Signed Mayor/President, Dandaragan

Signed CEO, Dandaragan



INFORMATION SECURITY INTERNAL POLICY

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INTRODUCTION

1.1 DOCUMENT PURPOSE

The purpose of this document is to ensure that appropriate and effective measures are in place to protect, preserve and manage the confidentiality, integrity and availability of the Shire of Dandaragan's (SoD) information and it's Customer information, business processes, systems and applications.

1.2 SCOPE

This policy relates to information security of the Shire of Dandaragan's business and associated computer systems.

This document describes both reactive and proactive processes.

Reactive processes are triggered by an event or request, such as a report of a compromised host, wide spreading malicious code, software vulnerability, or an event that was identified by an intrusion detection or logging system.

The reactive processes describe information security threat response and include the responsibilities of the Security Incident Team (SIT), incident and data classification and the Incident Response Plan.

1.3 ENVIRONMENT

The Shire of Dandaragan Information Technology (IT) environment is diverse and complex with seven interconnected sites operating broadcast and business computer systems and activities.

The environment is predominantly a Microsoft Windows Server/Client virtual server environment built on a Cisco Local Area Network (LAN) and interconnected by a Telstra Wide Area Network and Sophos Internet gateway.

1.4 THREATS AND ASSESSMENTS

Computer systems and networks face several threats including viruses, hacks, phishing, denial of service attacks, data corruption, malicious intent from employees, extortion attempts and physical damage.

Any observable change to the normal behaviour of a system, environment, process, workflow or person may be considered a potential incident and should be immediately reported to the outsourced Managed Services provide. The Service Desk Team member must immediately escalate the potential incident to the Security Incident Team Lead. Proactive processes provide assistance and information to help prepare, protect, and secure essential systems in anticipation of attacks, problems, or events. Proactive process includes policies and procedures around information access, staff responsibilities, firewall configurations, server patches and updates etc.

SECURITY INCIDENT RESPONSE

The Security Incident Team (SIT) is the key body that manages the Shire of Dandaragan's response in the event of an information security threat or breach.

The SIT Incident Lead will be responsible for the activities of the SIT and will coordinate reviews of its actions. This might lead to changes in policies and procedures for dealing with future incidents.

SIT associate members include experts in specific areas of technology, communications, legal and senior management.

The Shire of Dandaragan SIT is as follows:

Role	Name	Title	Contact Number
Incident Lead	Brett Borthwick	Head of Technology	0499 554 455
Site Contact	Scott Clayton	Executive Manager Corporate and Community	0428 877 648

INFORMATION SECURITY POLICIES

1.5 STAFF RESPONSIBILITIES

1.5.1 PASSWORD SECURITY

Staff must keep passwords confidential at all times.

1.5.2 VIRUS EMAILS

Multiple scanning engines are deployed to scan emails and scanning is performed at the following levels.

- Office 365
- Intercept X
- User-level Sophos Antivirus

Zip files containing the following file types: .rar, .dll, .exe, .jar, .obj, .vxd, .os2, .wl6, .dos, .com or .pif will be automatically quarantined. Notification of the quarantine action will be sent to the recipient of the email who will have 7 days to request access to the file. After 7 day's the quarantined file will be permanently deleted.

Staff should remain cautious when opening any file attached to an email.

1.5.3 LAPTOP SECURITY

All devices will also be loaded with the managed services provider agent which allows for remote access and device management.

1.5.4 MOBILE PHONE AND TABLET SECURITY

All shire owned mobile devices will be loaded with VMware Workspace One mobile device management solution. This product will control the device settings including encryption, device lock times, passwords and provide policy and remote wipe features.

This will enable SoD to remove any corporate data from the devices in the event of lost devices, stolen devices or user leaving the organisation.

1.5.5 UNAUTHORISED SOFTWARE

Both Sophos Anti-Virus and Labtech (Management and Monitoring Software) will provide application install information for each workstation and mobile devices will be controlled by the mobile device management solution.

Users will not have elevated permissions to install software or applications on their devices and will require approval prior to having the software installed. Software will be installed through our Managed Services Provider with the following people authorised to approve installation:

- Scott Clayton – Executive Manager of Corporate and Community Services
- Brent Bailey – CEO
- David Childlow - Executive Manager of Development Services
- Brad Pepper – Executive Manager of Infrastructure

Or at the discretion of the Managed Service provider

1.6 COMPUTER NETWORK

1.6.1 FIREWALLS

Firewalls act as perimeter based protection and perform actions such as web content filtering, port control, spam filtering, virus protection, whitelisting/blacklisting of websites or IP addresses and malicious IP blocking to prevent denial of service, inappropriate usage, unauthorized access and malicious code.

The SoD require 24/7 uptime on Firewalls with a very narrow margin for interruption to continuous services.

1.6.1.1 Management

Centralized management of each cluster is controlled by the Sophos Firewall Manager console. Write access to this is only accessible by the Sophos Management Team at our Managed Services Provider.

1.6.1.2 Access control

Admin-Level access control to the Sophos Firewalls is managed through the Sophos Firewall Manager. Users are created in Active Directory and assigned group permissions that provide the required access level.

Write access to the firewalls is only available to the Sophos Management team which consists of the Head of Technology and Senior Engineering Team.

1.6.1.3 Logging

Firewall logs are kept for 1 month. The primary logs collected include firewall changes, system logs and HTTP Requests.

1.6.1.4 Policy control and change management.

Having an effective change control process is key to a healthy and secure firewall environment. Firewall policies are managed by the Sophos Management team at the managed service provider.

1.6.2 NETWORK INFRASTRUCTURE – LAN

Network infrastructure components are used to provide services and processes to the business. These devices consist of Core Switches and Edge Switches.

1.6.2.1 Management and Password control

Management of the LAN infrastructure is controlled by the Managed Service Provider.

Changes and logons to the LAN infrastructure are logged through tickets with the Managed Service Provider.

1.6.2.2 Firmware updates

Firmware updates are controlled by the Managed Services Provider.

1.6.3 NETWORK INFRASTRUCTURE – WIRELESS LAN

1.6.3.1 Management and Password control

User-Level access to the wireless infrastructure is accessed by four Wireless LANS (WLANS) named ShireCorp, ShireGuest, TCVC_Free_WIFI_Monitored. These WLANS each have different security levels VLANS and vary in network resource access.
WLANS

ShireCorp

- WPA + WPA2 +Auth(802.1X)
- Access to one VLAN.
- Internet only
- Full access to Workstation / Server LAN

ShireGuest

- WPA + WPA2 +Auth(802.1X)
- Access to one VLAN.
- Internet only.
- No access to SoD Internal resources.

TCVC Free WIFI Monitored

- WPA + WPA2 +Auth(802.1X)
- Access to one VLAN.
- Internet only.
- No access to SoD Internal resources.

1.6.3.2 Wireless LAN controllers (WLC) (Admin-Level)

The WLC controls Wireless Access Points for all Sites. This is a cloud software based WLC and has in-built user controls.

WLC are configured for "Clean AIR" to perform detection of the following:

- Interference from devices such as Jammers, Continuous Transmitters, WiMAX etc.
- Set to trap jammers, Wi-Fi Inverted and Wi-Fi Invalid Channel
- Capture and contain ability for Rogue APs to minimize unauthorized AP's being commissioned on LAN

Management access of this device is through Https cloud based portal. Access control is provided by Managed Services Provider in a read-only capacity.

1.6.3.3 Access Point (AP)

Access Points provide access to the WLAN SSID's ShireCorp, ShireGuest & TCVC_Free_WIFI_Monitored.

- Direct remote access to AP's is disabled both for Telnet and SSH
- All controlled through Cloud based web console.

1.6.3.4 Firmware updates

Firmware updates are performed by the Managed Services Provider.

1.6.4 ANTI-VIRUS

The network is designed to prevent virus infection, malware infection and exploitation and unauthorized encryption of data maintained on owned equipment.

1.6.4.1 Staff computer systems

All computers devices connected to the network or network resources are configured to have anti-virus software installed and configured so that all virus\malware identities are up to date and are updated routinely.

The anti-virus software is configured on User-Level devices by the central cloud based Antivirus Management console.

Enforced Settings.

- Routine full scans to run twice per week.
- On access is enabled.
- Disallow Network bridging.
- Disinfect any detected viruses or malware automatically.

If a device becomes infected it may be necessary for the device to be removed from the network. This is to be determined by the Managed Service provider.

These policies are enforced by the cloud based Anti-Virus Management Console.

1.6.4.2 Servers - Admin Network

All servers on the Admin Network have Anti-Virus applied.

Enforced Settings.

- Routine full scans to run twice per week.
- On access is disabled.
- Scans are scheduled outside operational activities such as backup's time slots or peek user times.
- Manual cleanup of Virus's detected must be cleaned up by the

Technology Team.

- Automatic cleanup of virus is not enforced. Preferred instead is "Deny and Quarantine". If a device becomes infected it may be necessary for the device to be removed from the network.

These policies are enforced by the cloud based Anti-Virus Management Console.

1.6.5 MICROSOFT SECURITY PATCHING

All workstations and servers are patched through the managed Labtech solution.

1.6.6 BACKUP

All Office365 products including, but not limited to mailboxes, SharePoint, OneDrive, and Teams are backed up every 8 hours and kept indefinitely.

Local Server data is backed up twice per day to a local Datto device, with the second backup each day uploaded to the cloud and kept indefinitely.

1.6.7 REMOTE ACCESS

As a number of systems are access web based Software-as-a-Service offerings including email there is no remote access to workstations outside of the Managed Services Provider support software and remote desktop services through VPN for remote worker.

All other web based systems are accessible remotely.

To access shared file systems externally a secure SSL VPN is required.

1.6.8 DNS MANAGEMENT

Active Directory DNS is in place to provide all network devices DNS resolution. DNS replication is only to trusted Active Directory controllers. Root servers are configured to provide external Name Resolution.

Scavenging of DNS records is configured with default settings. This allows recovering and removal of duplicate stale records keeping an efficient DNS environment.

DNS servers are enforced for all end user network devices by being applied through DHCP scopes.

DNS resolution on the DMZ and Guest wireless networks is provided through the firewall devices.

1.6.9 WIDE AREA NETWORK

The Wide Area Network is a Managed Network which consists of a single layer 3 network that deliver internal network services to each site location.

All hardware associated with the Wide Area Network are accessible by the managed service who monitor and maintain the WAN with 24/7 phone support.

The core network consists of a national unencrypted Multiprotocol Label Switching (MPLS) network.

Traffic that traverses this network is:

- Network Management
- Corporate Data
- Voice

1.7 CHANGE MANAGEMENT

The SoD runs in a change management controlled environment. All changes to the environment must follow the documented process.

1.7.1 WHAT REQUIRES A CHANGE MANAGEMENT REQUEST

1.7.1.1 Definition

The Change Management Process is required when a change is being made to either the infrastructure or a critical piece of software that impacts the Shire of Dandaragan that could pose a risk to business continuity.

1.7.2 PROCESS FOR CHANGE MANAGEMENT

1.7.2.1 Raising A Change Management Request

Change Management Requests (CMRs) should be raised by either the Executive Management team or Managed Service Providers.

All changes must be documented and approved by the Shire prior to change taking place.

Changes can be requested to the Managed Services Providers in writing only.

Managed services providers are required to provide their change management process in writing.

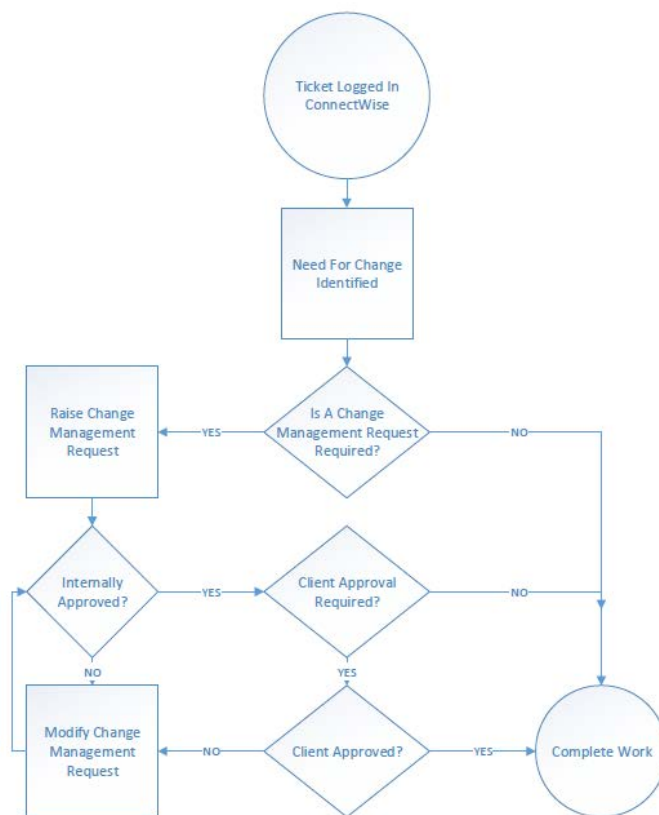
1.7.2.2 Change Management Approval

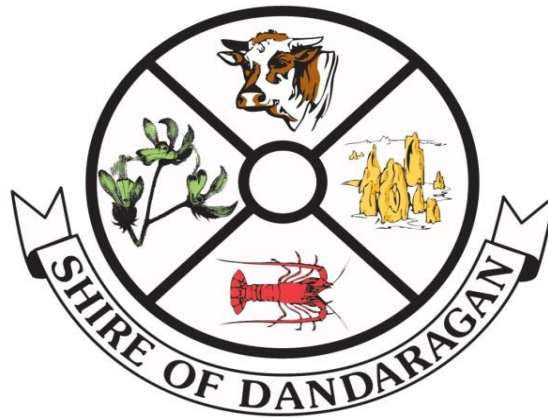
Each CMR can be approved from the following Shire staff members:

- Chief Executive Officer
- Executive Manager Corporate and Community Services

1.7.2.3 Process Flow Chart

Bridged Change Management Process





Budget Review

for the period ended
30 June 2021

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**SHIRE OF DANDARAGAN
SUMMARY OF IDENTIFIED VARIANCES**

GENERAL LEDGER ACCOUNT NAME	SCHEDULE	DESCRIPTION	SOURCE	AMOUNT DR/(CR)	AMENDED (SURPLUS) / DEFICIT
				Budgeted (Surplus) / Deficit to 30 June 20	0
				Variance of opening surplus budget to actual	(23,520)
					(23,520)
General Rates - GRV	Rate Revenue	GRV actual raised more than budgeted		(18,000)	(41,520)
Other Reimbursements (No GST)	Public Works Overheads	Unbudgeted Apprenticeship Incentives		(16,500)	(58,020)
Building Licences	Building Control	Higher than budgeted Building licence fees		(15,000)	(73,020)
Sale of Tourism Merchandise	Tourism and Area Promotion	Higher than budgeted Tourism Merchandise sales		(5,000)	(78,020)
Lease Charges	Public Halls and Civic Centres	DPAW contracted reimbursement of outgoings		(38,722)	(116,742)
Private Works General (GST Applicable)	Private Works	Private works sealing Lake Thetis Rd		(35,000)	(151,742)
Materials and Contracts (ALL)	Private Works	Private works sealing Lake Thetis Rd		35,000	(116,742)
Professional Indemnity icl employment practices	Members of Council	Premium less than budgeted		(7,398)	(124,140)
Insurance	Streets Roads Bridges Depots Maint	Insurance reimb stolen sign trailer		(5,786)	(129,926)
Insurance	Other Recreation and Sport	Bowling club water damage claim		(16,260)	(146,186)
Insurance Claims	Plant Operations	Insurance stolen sign trailer		5,886	(140,300)
Insurance Claims	Public Works Overheads	Bowling club water damage claim		4,500	(135,800)
Lease Repayments	Members of Council	Councillor laptop lease quarterly payments		7,556	(128,244)
Trading in Public Place Licence	Prv Srv Inspection and Administration	Fees income higher than budgeted		(870)	(129,114)
Lodging House Registration	Prv Srv Inspection and Administration	Fees income higher than budgeted		(700)	(129,814)
Lodging House Reg. - Holiday Homes	Prv Srv Inspection and Administration	Fees income higher than budgeted		(4,800)	(134,614)
Home Occupation Registration	Prv Srv Inspection and Administration	Fees income higher than budgeted		(1,000)	(135,614)
Food Premises Registration & Inspection	Prv Srv Inspection and Administration	Fees income higher than budgeted		(4,455)	(140,069)
Other Reimbursements (No GST)	Other Health	Health services for 3rd parties		(5,890)	(145,959)
Other Reimbursements	Other Health	Health services for 3rd parties		(15,989)	(161,948)
Staff Housing Rent	Other Governance	Staff housing rental adjustment		20,800	(141,148)
Staff Housing	Other Governance	Staff housing rental adjustment		(20,800)	(161,948)
FBT Expenses	Other Governance	Adjust FBT allocations		(3,751)	(165,699)
FBT Expenses	Other Law Order Public Safety	Adjust FBT allocations		2,981	(162,718)
FBT Expenses	Prv Srv Inspection and Administration	Adjust FBT allocations		1,180	(161,539)
FBT Expenses	Town Planning	Adjust FBT allocations		3,598	(157,941)
FBT Expenses	Other Recreation and Sport	Adjust FBT allocations		4,435	(153,506)
FBT Expenses	Tourism and Area Promotion	Adjust FBT allocations		270	(153,236)
FBT Expenses	Building Control	Adjust FBT allocations		1,810	(151,426)
FBT Expenses	Public Works Overheads	Adjust FBT allocations		(10,522)	(161,948)
Consultancy	Airfields	Redirect EW runway capital job expenses		22,163	(139,785)
Septic Tanks (Private Works)	Sewerage	Damage to truck, now only doing Grease Traps		94,000	(45,785)
Controlled Waste Water Corp Fee	Sewerage	No longer contracted to pumpout Coalseam		38,167	(7,619)
Controlled Waste DEC tracking Fee	Sewerage	No longer contracted to pumpout Coalseam		8,448	829
Controlled Waste Water Corp Fee	Sewerage	No longer contracted to pumpout Coalseam		(10,858)	(10,029)
Controlled Waste DEC tracking form	Sewerage	No longer contracted to pumpout Coalseam		(6,952)	(16,981)
Materials and Contracts (ALL)	Other Recreation and Sport	Annual themed events program	Strategic Community Plan	25,000	8,019
Infrastructure - Other	Other Recreation and Sport	Turquoise Way Hill River Bridge Asset	20210225 9.1.3	57,118	65,137
Works in Progress Materials	Other Recreation and Sport	Turquoise Way Hill River Bridge Asset	20210225 9.1.3	57,118	122,255
Works in Progress Materials	Other Recreation and Sport	Turquoise Way Hill River Bridge Asset	20210225 9.1.3	(57,118)	65,137
Cash Advance JB Chamber of Commerce	Unclassified	Turquoise Way Hill River Bridge Loan	20210225 9.1.3	35,100	100,237
Infrastructure Construction Reserve		Turquoise Way Hill River Bridge Res Trans	20210225 9.1.3	(57,118)	43,119
Retained Earnings - Net Movement in Reserves		Turquoise Way Hill River Bridge Res Trans	20210225 9.1.3	57,118	100,237
Transfers From Reserve Funds		Turquoise Way Hill River Bridge Res Trans	20210225 9.1.3	(57,118)	43,119
Plant & Equipment	Town Planning	DISP RevPurchCost PLV240		44,000	87,119
Less Accumulated Depreciation	Town Planning	DISP RevAccDpn PLV240		(27,200)	59,919
Proceeds on Sale of Assets	Town Planning	FA2995 - Wagon - Mazda CX5 MAXX DN016		(16,800)	43,119
Proceeds on Sale of Assets	Town Planning	FA2995 - Wagon - Mazda CX5 MAXX DN016		16,800	59,919
Plant Reserve		Mazda Disposal to Plant Reserve		(16,800)	43,119
Retained Earnings - Net Movement in Reserves		Mazda Disposal to Plant Reserve		16,800	59,919
Transfers To Reserve Funds		Mazda Disposal to Plant Reserve		(16,800)	43,119
Plant & Equipment	Building Control	DISP RevPurchCost PLV252		44,000	87,119
Less Accumulated Depreciation	Building Control	DISP RevAccDpn PLV252		(27,200)	59,919
Proceeds on Sale of Assets	Building Control	FA3091 Wagon - Mazda CX5 MAXX DN032		(16,800)	43,119
Proceeds on Sale of Assets	Building Control	FA3091 Wagon - Mazda CX5 MAXX DN032		16,800	59,919
Plant Reserve		Mazda Disposal to Plant Reserve		(16,800)	43,119
Retained Earnings - Net Movement in Reserves		Mazda Disposal to Plant Reserve		16,800	59,919
Transfers To Reserve Funds		Mazda Disposal to Plant Reserve		(16,800)	43,119
Buildings & Improvements	Public Works Overheads	Staff Housing refurbishment - 2 York St	20200924 9.1.3	23,630	66,749
Building Renewal Reserve		Staff Housing refurbishment - 2 York St	20200924 9.1.3	(23,630)	43,119
Transfers From Reserve Funds		Staff Housing refurbishment - 2 York St	20200924 9.1.3	(23,630)	19,489
Retained Earnings - Net Movement in Reserves		Staff Housing refurbishment - 2 York St	20200924 9.1.3	23,630	43,119
Buildings & Improvements	Public Halls and Civic Centres	Roofing repairs- Jurien Sport & Recreation Centre	20201022 9.1.2	50,000	93,119
Building Renewal Reserve		Roofing repairs- Jurien Sport & Recreation Centre	20201022 9.1.2	(50,000)	43,119
Transfers From Reserve Funds		Roofing repairs- Jurien Sport & Recreation Centre	20201022 9.1.2	(50,000)	(6,881)
Retained Earnings - Net Movement in Reserves		Roofing repairs- Jurien Sport & Recreation Centre	20201022 9.1.2	50,000	43,119
Infrastructure - Parks & Reserves	Other Recreation and Sport	Jurien Golf Club Irrigation Project	20200827 9.1.3	247,648	290,767
Sport and Recreation Reserve		Jurien Golf Club Irrigation Project	20200827 9.1.3	(247,648)	43,119
Transfers From Reserve Funds		Jurien Golf Club Irrigation Project	20200827 9.1.3	(247,648)	(204,529)
Retained Earnings - Net Movement in Reserves		Jurien Golf Club Irrigation Project	20200827 9.1.3	247,648	43,119
Local Roads and Comm. Infr.	Airfields	Transfer EW runway grant to Ablution Pavillion		590,929	634,048
Local Roads and Comm. Infr.	Other Recreation and Sport	Transfer EW runway grant to Ablution Pavillion		(590,929)	43,119
Loans Non Current	Other Education	Dandaragan House (GROH)		(620,302)	(577,183)
Loans Current	Other Education	Dandaragan House (GROH)		25,432	(551,751)
Loans Non Current	Other Education	Dandaragan House (GROH)		514,568	(37,183)
Loans Current	Other Education	12/08/2020 Repay /Dandy GROH House - Loan 136		(25,432)	(62,615)
Loans Current	Other Education	Loan136 Dandy GROH House Principal NC>C		25,591	(37,024)
Loans Current	Other Education	Loan136 Dandy GROH House Principal NC>C		25,751	(11,273)
Loans Non Current	Other Education	Loan136 Dandy GROH House Principal NC>C		(25,591)	(36,864)
Loans Non Current	Other Education	Loan136 Dandy GROH House Principal NC>C		(25,751)	(62,615)
Interest on Loans	Other Education	Dandy GROH House - Loan 136		(3,375)	(65,990)
Buildings & Improvements	Other Education	Increase cost of GROH housing project		80,302	14,312
Works in Progress Materials	Other Education	Increase cost of GROH housing project		80,302	94,614
Works in Progress Materials	Other Education	Increase cost of GROH housing project		(80,302)	14,312
Infrastructure - Other	Airfields	Transfer EW runway project to Ablution Pavillion		(650,000)	(635,688)
Works in Progress Materials	Airfields	Transfer EW runway project to Ablution Pavillion		(650,000)	(1,285,688)
Works in Progress Materials	Airfields	Transfer EW runway project to Ablution Pavillion		650,000	(635,688)
Buildings & Improvements	Other Recreation and Sport	Increase cost of Pavilion project		483,808	(151,880)
Works in Progress Materials	Other Recreation and Sport	Increase cost of Pavilion project		483,808	331,928
Works in Progress Materials	Other Recreation and Sport	Increase cost of Pavilion project		(483,808)	(151,880)
Infrastructure - Roads	Streets Roads Bridges Depots Maint	Increase costs of Roberts St capital project		181,050	29,170
Works in Progress Materials	Streets Roads Bridges Depots Maint	Increase costs of Roberts St capital project		181,050	210,220
Works in Progress Materials	Streets Roads Bridges Depots Maint	Increase costs of Roberts St capital project		(181,050)	29,170
Infrastructure - Parks & Reserves	Other Recreation and Sport	Remove Container Bar project - Land tenure issues		(165,000)	(135,830)
Works in Progress Materials	Other Recreation and Sport	Remove Container Bar project - Land tenure issues		(165,000)	(300,830)
Works in Progress Materials	Other Recreation and Sport	Remove Container Bar project - Land tenure issues		165,000	(135,830)

RED Grant		Remove Grant - Land tenure issues	100,000	(35,830)
Economic Development Reserve		Remove Reserve transfer - Container Bar project	65,000	29,170
Retained Earnings - Net Movement in Reserves		Remove Reserve transfer - Container Bar project	(65,000)	(35,830)
Transfers From Reserve Funds		Remove Reserve transfer - Container Bar project	65,000	29,170
Infrastructure - Other	Other Recreation and Sport	Increase cost of Badgingarra Cricket net project	5,000	34,170
Works in Progress Materials	Other Recreation and Sport	Increase cost of Badgingarra Cricket net project	5,000	39,170
Works in Progress Materials	Other Recreation and Sport	Increase cost of Badgingarra Cricket net project	(5,000)	34,170
CSRF Grant	Other Recreation and Sport	Remove CSRF grant - Badgy Cricket nets	5,000	39,170
Other Non Operating Contributions	Other Recreation and Sport	Increase BCA contribution - Cricket net project	(2,500)	36,670
Planning Commission	Television and Radio Rebroadcast	Remove Dept Plan Grant for Coastal Fencing Project	40,000	76,670
Infrastructure - Other	Television and Radio Rebroadcast	Reduce exp for Coastal Fencing project, no grant	(40,000)	36,670
Works in Progress Materials	Television and Radio Rebroadcast	Reduce exp for Coastal Fencing project, no grant	(40,000)	(3,330)
Works in Progress Materials	Television and Radio Rebroadcast	Reduce exp for Coastal Fencing project, no grant	40,000	36,670
Infrastructure - Other	Television and Radio Rebroadcast	Reduce expenses for Coastal Fencing project	(25,000)	11,670
Works in Progress Materials	Television and Radio Rebroadcast	Reduce expenses for Coastal Fencing project	(25,000)	(13,330)
Works in Progress Materials	Television and Radio Rebroadcast	Reduce expenses for Coastal Fencing project	25,000	11,670
Buildings & Improvements	Airfields	Remove Arrival Centre Project -Land tenure issues	(177,071)	(165,401)
Works in Progress Materials	Airfields	Remove Arrival Centre Project -Land tenure issues	(177,071)	(342,472)
Works in Progress Materials	Airfields	Remove Arrival Centre Project -Land tenure issues	177,071	(165,401)
RAD Grants	Airfields	Remove Arrival Centre Project -Land tenure issues	132,803	(32,597)
Buildings & Improvements	Public Halls and Civic Centres	Remove BCC roof support/solar panel project	(20,000)	(52,597)
Works in Progress Materials	Public Halls and Civic Centres	Remove BCC roof support/solar panel project	(20,000)	(72,597)
Works in Progress Materials	Public Halls and Civic Centres	Remove BCC roof support/solar panel project	20,000	(52,597)
Building Renewal Reserve		Remove Reserve Trans BCC roof supportsolar project	20,000	(32,597)
Retained Earnings - Net Movement in Reserves		Remove Reserve Trans BCC roof supportsolar project	(20,000)	(52,597)
Transfers From Reserve Funds		Remove Reserve Trans BCC roof supportsolar project	20,000	(32,597)
Federal Drought	Streets Roads Bridges Depots Maint	Transfer Aragon grant to Fshore pground	40,000	7,403
Federal Drought	Other Recreation and Sport	Transfer Aragon grant to Fshore pground	(40,000)	(32,597)
Federal Drought	Public Halls and Civic Centres	Trans Drought funding from CCRC to Fshore pground	40,000	7,403
Federal Drought	Other Recreation and Sport	Trans Drought funding from CCRC to Fshore pground	(40,000)	(32,597)
Federal Drought	Streets Roads Bridges Depots Maint	Trans funding from CCC carpark to Fshore pground	38,000	5,403
Federal Drought	Other Recreation and Sport	Trans funding from CCC carpark to Fshore pground	(38,000)	(32,597)
Infrastructure - Other	Streets Roads Bridges Depots Maint	CCC Carpark completed under budget	(38,000)	(70,597)
Works in Progress Materials	Streets Roads Bridges Depots Maint	CCC Carpark completed under budget	(38,000)	(108,597)
Works in Progress Materials	Streets Roads Bridges Depots Maint	CCC Carpark completed under budget	38,000	(70,597)
SBS Grant	Streets Roads Bridges Depots Maint	Unsuccessful with State Black Spot grant	20,000	(50,597)
SBS Grant	Streets Roads Bridges Depots Maint	Unsuccessful with State Black Spot grant	18,000	(32,597)
SBS Grant	Streets Roads Bridges Depots Maint	Unsuccessful with State Black Spot grant	77,334	44,737
SBS Grant	Streets Roads Bridges Depots Maint	State Black Sport Grant	(28,000)	16,737
Less Accumulated Depreciation	Various	Building reval, budget assumption versus actual	490,512	507,249
Depreciation on Buildings	Various	Building reval, budget assumption versus actual	47,364	554,613
Depreciation on Plant & Equipment	Various	Building reval, budget assumption versus actual	(537,876)	16,737
			Total (Surplus) / Deficit	16,737

SHIRE OF DANDARAGAN
STATEMENT OF COMPREHENSIVE INCOME by Nature or Type
FOR THE YEAR ENDED 30 JUNE 2021

	Note	2020/21 Budget Review
Revenue		
Rates		6,318,242
Operating grants, subsidies & contributions		1,268,842
Fees and charges		2,280,011
Interest earnings		22,000
Other revenue		100,973
		9,990,068
Expenses		
Employee costs		(4,026,780)
Materials and contracts		(2,842,826)
Utilities		(459,742)
Insurance		(423,176)
Other expenses		(735,912)
Depreciation		(5,818,476)
		(14,306,912)
		(4,316,844)
Borrowing costs expense		(20,003)
Grants & subsidies (towards non-operating activities)		6,830,610
Profit on disposal of assets		0
Loss on disposal of assets		0
		2,493,764
Net result		
Other comprehensive income		
Changes on revaluation of non-current assets		0
Total other comprehensive income		0
Total comprehensive income		2,493,764

This statement is to be read in conjunction with the accompanying notes

SHIRE OF DANDARAGAN
STATEMENT OF COMPREHENSIVE INCOME by Department
FOR THE YEAR ENDED 30 JUNE 2021

	Note	Budget Review
Revenue		
Governance		57,368
General purpose funding		7,057,694
Law, order & public safety		405,503
Health		37,993
Education & welfare		10,500
Community amenities		1,219,325
Recreation and culture		482,568
Transport		281,879
Economic services		249,166
Other property and services		188,071
		9,990,068
Expenses excluding finance costs		
Governance		(615,401)
General purpose funding		(197,086)
Law, order & public safety		(1,325,350)
Health		(324,151)
Education & welfare		(106,984)
Community amenities		(2,251,847)
Recreation and culture		(3,181,355)
Transport		(5,409,086)
Economic services		(729,036)
Other property and services		(166,617)
		(14,306,912)
		(4,316,844)
Finance costs		
Governance		(8,413)
Law, order & public safety		(135)
Recreation and culture		(2,378)
Transport		0
Other property and services		(9,076)
		(20,003)
Non- operating grants and subsidies		
Health		2,000
Education & welfare		0
Recreation and culture		2,229,083
Transport		4,594,527
Economic services		5,000
Other property and services		0
		6,830,610
Profit / (loss) on asset disposal		
Governance		0
Community amenities		0
Transport		0
Other property and services		0
		0
Net result		2,493,764
Other comprehensive income		
Changes on revaluation of non-current assets		0
Total other comprehensive income		0
Total comprehensive income		2,493,764

This statement is to be read in conjunction with the accompanying notes

SHIRE OF DANDARAGAN
RATE SETTING STATEMENT by Department
FOR THE YEAR ENDED 30 JUNE 2021

	Note	2020/21 Budget	2020/21 Budget Review
OPERATING ACTIVITIES			
Net current assets at start of financial year - surplus/(deficit)	2(a)	1,389,451	1,412,971
Revenue from operating activities (excluding rates)			
Governance		78,168	57,368
General purpose funding		739,452	739,452
Law, order & public safety		405,503	405,503
Health		4,290	37,993
Education & welfare		10,500	10,500
Community amenities		1,359,940	1,219,325
Recreation and culture		427,586	482,568
Transport		276,093	281,879
Economic services		229,166	249,166
Other property and services		136,571	188,071
		3,667,270	3,671,827
Expenditure from operating activities			
Governance		(642,760)	(623,814)
General purpose funding		(197,086)	(197,086)
Law, order & public safety		(1,344,056)	(1,325,485)
Health		(321,579)	(324,151)
Education & welfare		(110,359)	(106,984)
Community amenities		(2,262,988)	(2,251,847)
Recreation and culture		(3,144,733)	(3,183,733)
Transport		(5,397,208)	(5,409,086)
Economic services		(726,692)	(729,036)
Other property and services		(619,246)	(175,694)
		(14,766,706)	(14,326,915)
Non-cash amounts excluded from operating activities	2(b)(ii)	6,308,988	5,818,476
Amount attributable to operating activities		(3,400,997)	(3,423,641)
INVESTING ACTIVITIES			
Non-operating grants, subsidies and contributions		7,193,247	6,830,610
Proceeds from disposal of assets		33,600	0
Purchase land and buildings		(1,751,317)	(2,191,986)
Purchase furniture and equipment		(341,547)	(341,547)
Purchase plant and equipment		(7,000)	(7,000)
Purchase infrastructure assets - roads		(5,173,070)	(5,354,120)
Purchase infrastructure assets - parks & reserves		(529,977)	(612,625)
Purchase infrastructure assets - other		(4,093,467)	(3,402,585)
Amount attributable to investing activities		(4,669,531)	(5,079,253)
FINANCING ACTIVITIES			
Proceeds from new borrowings		1,340,000	1,420,302
Repayment of borrowings		(157,986)	(132,554)
Payment of self supporting loan to community group		(50,000)	(85,100)
Self-supporting loan principal income		45,436	45,436
Community group cash advance principal income		2,076	2,076
Repayment of right of use lease		(40,530)	(40,530)
Transfer to reserves		(187,045)	(153,445)
Transfer from reserves		818,335	1,111,731
Amount attributable to financing activities		1,770,286	2,167,916
Budgeted deficiency before general rates		(6,300,242)	(6,334,978)
Estimated amount to be raised from general rates		6,300,242	6,318,242
Net current assets at end of financial year - surplus/(deficit)	2(a)	0	(16,736)

This statement is to be read in conjunction with the accompanying notes.

SHIRE OF DANDARAGAN
STATEMENT OF FINANCIAL POSITION
FOR THE YEAR ENDED 30 JUNE 2021

Description	2021	2020
	\$	\$
CURRENT ASSETS		
Cash and cash equivalents	4,743,301	7,647,366
Trade receivables	390,912	966,912
Other financial assets at amortised cost	35,129	42,602
Other current assets	5,514	5,514
Inventories	32,574	32,574
TOTAL CURRENT ASSETS	5,207,431	8,694,968
NON-CURRENT ASSETS		
Other financial assets at amortised cost	215,173	170,113
Trade receivables	50,124	50,124
Land	2,903,000	2,903,000
Buildings and improvements	30,849,150	29,775,900
Furniture and equipment	1,009,038	796,707
Plant and equipment	2,994,592	3,645,180
Right of Use Assets	45,598	89,542
Infrastructure	253,454,477	247,954,139
TOTAL NON-CURRENT ASSETS	291,521,152	285,384,705
TOTAL ASSETS	296,728,583	294,079,673
CURRENT LIABILITIES		
Trade and other payables	(454,748)	(1,088,748)
Contract Liabilities	0	(458,071)
Lease Liabilities	(21,007)	(40,530)
Borrowings	(151,884)	(112,406)
Employee related provisions	(673,805)	(673,805)
TOTAL CURRENT LIABILITIES	(1,301,444)	(2,373,560)
NON-CURRENT LIABILITIES		
Lease Liabilities	(28,612)	(49,619)
Borrowings	(1,405,280)	(157,012)
Employee related provisions	(122,432)	(122,432)
TOTAL NON-CURRENT LIABILITIES	(1,556,324)	(329,062)
TOTAL LIABILITIES	(2,857,768)	(2,702,622)
TOTAL NET ASSETS	293,870,815	291,377,051
EQUITY		
Retained earnings	(200,489,501)	(197,037,451)
Reserves - cash backed	(4,734,289)	(5,692,576)
Revaluation surplus	(88,647,025)	(88,647,025)
TOTAL EQUITY	293,870,815	291,377,051

This statement is to be read in conjunction with the accompanying notes.

**NOTES TO AND FORMING PART OF THE BUDGET
FOR THE YEAR ENDED 30 JUNE 2021**

2(a). NET CURRENT ASSETS & FUNDING SURPLUS / (DEFICIT)

	Note	2020/2021 Budget
(iii) Composition of estimated net current assets		
Current assets		
Cash - unrestricted		9,012
Cash - restricted reserves		
Cash backed reserves		4,734,289
Unspent grants		0
Other financial assets at amortised cost		35,129
Receivables		357,702
Inventories		32,574
		5,168,707
Less: current liabilities		
Trade and other payables		(437,031)
Provisions		(673,805)
Long term borrowings		(151,884)
		(1,262,720)
Net current assets		3,905,986
Less: Total adjustments to net current assets	2(b)(ii)	(3,922,722)
Closing funding surplus / (deficit)		(16,736)

**NOTES TO AND FORMING PART OF THE BUDGET
FOR THE YEAR ENDED 30 JUNE 2021**

2 (a). NET CURRENT ASSETS & FUNDING SURPLUS / (DEFICIT)

EXPLANATION OF DIFFERENCE IN NET CURRENT ASSETS AND SURPLUS/(DEFICIT)

Items excluded from calculation of budgeted deficiency

When calculating the budget deficiency for the purpose of Section 6.2 (2)(c) of the Local Government Act 1995 the following amounts have been excluded as provided by Local Government (Financial Management) Regulation which will not fund the budgeted expenditure.

	Note	2020/2021 Budget
(i) Operating activities excluded from budgeted deficiency		
The following non-cash revenue or expenditure has been excluded from operating activities within the Rate Setting Statement.		
Profit on asset disposals		0
Loss on asset disposals		0
Movement in employee provisions		0
Movement in deferred rates		0
Depreciation on assets		5,818,476
Non cash amounts excluded from operating activities		5,818,476
(ii) Current Assets and liabilities excluded from budgeted deficiency		
Less: Cash - restricted reserves		(4,734,289)
Less: Other financial assets at amortised cost - self support loan		(35,129)
Add: Current liabilities not expected to be cleared at end of year		
- Current portion of borrowings		151,884
- Right of use lease liability		21,007
- Employee benefit provisions		673,805
Total Adjustments to net current assets		(3,922,722)

Shire of Dandaragan Risk Register Dashboard November 2020

Asset Sustainability Practices		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Develop a standard building inspection checklist to ensure annual works are budgeted and completed.	Jun-21	Executive Manager Development Services	
Undertake a review and update of the Shire's asbestos register. Develop a planned approach to the removal and replacement.	Jun-20	Principal Environmental Health Officer	
Complete the review of the Municipal Heritage Inventory	Jun-21	Planning Officer	
Develop a standard airport inspection checklist to ensure all items are checked and documented on a regular basis.	Jun-21	Rangers	
Implement a marine asset inspection and preventative maintenance program.	Jun-21	Executive Manager Development Services	

External Theft and Fraud (inc. Cyber Crime)		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Complete the IT Plan to document key security controls and planning for future improvement.	Dec-20	Executive Manager Corporate and Community Services.	
Ongoing dissemination of information regarding IT scans and procurement risks.	Ongoing	Various	
Consider further rollout of CCTV to Shire Depots	Dec-20	Manager Infrastructure Services	

Business & Community Disruption		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Complete Shire's bushfire risk management plan including review of existing firebreak network and planned mitigation activities.	Jun-20	Bushfire Risk Planning Coordinator	
Review Business Contingency Response Plan and combine Management Procedure Manual	Mar-21	EMC	

Management of Facilities, Venues and Events		Risk	Control
		Low	Adequate
Current Actions	Due Date	Responsibility	
Provide refresher training for staff members engaged in playground maintenance and inspection. Update inspection forms and link to Shire records system.	Dec-20	HR Coordinator /	
Investigate, review and implement liability mitigation measures for Jurien Bay Jetty		Manager Infrastructure Services	

Failure to Fulfill Compliance Requirements (Statutory, Regulatory)		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Review current workforce structure to appoint staff member in charge of internal audit and monitoring benchmarks of Risk Profile tool.	Jun-21	Chief Executive Officer	
Once staff member appointed, consider implementation of compliance calendar	Dec-21	Chief Executive Officer	
Budget for next Reg17 review to be completed with external support.	Nov-22	Chief Executive Officer	
Staff Training on statutory requirements of tender process and register	Dec-20	Chief Executive Officer	
Review statutory declarations throughout the year not just annually eg Financial Interest and related party declarations	Dec-20		

IT, Communication Systems and Infrastructure		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Complete IT access and protocols documentation with Bridged	Jun-21	Executive Manager Corporate and Community Services	

Document Management Processes		Risk	Control
		Moderate	Inadequate
Current Actions	Due Date	Responsibility	
Develop and install new Electronic Records Management System	Jun-21	Executive Manager Corporate and Community Services	
Complete remodelling of Shire website	Jun-20	Manager Customer and Community Services	
Review and update the Record Keeping Plan & Disaster Management Plan in accordance with State Legislation.	Jun-21	Executive Manager Corporate and Community Services	
Complete process map for website content management	Jun-21	Manager Customer and Community Services	

Misconduct		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Review whether a formal process or policy is required for establishing when staff need WWC	Jun-21	Manager Customer and Community Service	
Review with elected members whether there is a need for a social media policy that encompasses Councillors	Jun-21	Manager Customer and Community Service	
Consider increasing scope of stocktakes to include other materials such as Nursery stock, gravel, mulch and chemical held within Shire depots.	Jun-21	Executive Manager Corporate and Community Service	
Implementing annual reminder of Code of Conduct for Staff and elected members	Jun-21	HR / Robyn	

Employment Practices		Risk	Control
		Moderate	Effective
Current Actions	Due Date	Responsibility	
Implement an employee satisfaction and culture survey to measure current internal climate.	Jun-21	CEO / HR Coordinator	
Complete restructure and re-employment of staff in customer service / visitor centre operations.	Dec-20	Manager Customer and Community Services	

Project / Change Management		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Implement standard project debriefing process for major projects with lessons learnt and outcomes based report to capture project learnings and prevent future errors.	Dec-20	CEO	

Engagement practices		Risk	Control
		Low	Effective
Current Actions	Due Date	Responsibility	
Feedback regarding "forgotten" corner (South-East) from September 2019 Dandaragan Council meeting needs to be considered. Commencing with a better understanding of their needs and concerns. Review recent community survey results.	Jun-21	CEO	

Safety and Security Practices		Risk	Control
		High	Adequate
Current Actions	Due Date	Responsibility	
Regularly review hazard and incident register and assign rectification needs to officers with timeframes for completion.	Jun-21	PEHO	
Establish a schedule of workplace inspections to guide regular inspection process with assistance from LGIS.	Jun-21	PEHO	
Establish contractor induction process and deliver first rollout of inductions to regular local contractors	Mar-21	PEHO	
Review the current staffing arrangements for the Visitors Centre on weekends, consider implementation of casual or volunteer roles to remove isolated worker risks.	Jun-21	Manager Customer and Community Services	
Maintain health protocols and implement recommendations in accordance with advice from the State Government.	Oct-20	Principal Environmental Health Officer	

Environment Management		Risk	Control
		High	Adequate
Current Actions	Due Date	Responsibility	
Consider the medium term appointment of a staff member to coordinate environmental responsibilities and projects.	Jun-21	CEO	
Complete Strategic Waste Management Plan	Jun-20	Principal Environmental Health Officer	
Complete the Bushfire Risk Management Plan	Dec-20	Bushfire Risk Planning Coordinator / GESC	
Establish and implement project team for Prescribed Burning Mitigation Strategy	Dec-20	CESC	

Supplier and Contract Management		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Complete the development of the contract development and monitoring process map to avoid supply relationships being held over on monthly arrangements.	Jun-21	Senior Finance Officer/ CIS	
Continue rollout of standard contract for goods and services in accordance with WALGA procurement toolkit	Ongoing	Executive Manager Corporate and Community Services	
Introduce and maintain contractor inductions process	Jun-21	CIS	

Errors, Omissions and Delays		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Continue process mapping working group to review and address complex processes.	Ongoing	Various	

To add additional Actions cells, insert a new line, click in the last of the existing cells above and drag down. This will bring the formulas into the new cells.

Asset Sustainability Practices **Nov-20**

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

Areas included in the scope are:
 -Inadequate design (not fit for purpose)
 -Ineffective usage (down time)
 -Outputs not meeting expectations
 -Inadequate maintenance activities.
 -Inadequate financial management and planning (capital renewal plan).
 It does not include issues with the inappropriate use of the Plant, Equipment or Machinery. Refer Misconduct.

Potential causes include:	
Skill level & behaviour of operators	Unavailability of parts
Lack of trained staff	Lack of formal or appropriate scheduling (maintenance / inspections)
Outdated equipment	Unexpected breakdowns
Insufficient budget to maintain or replace assets	

Controls Assurance										
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments
Routine maintenance: Hard Infrastructure (Roads, bridges, drainage, footpaths)	Preventative	Oct-19	Adequate	Dandaragan Operations Supervisor / EMI	No	Yes	Yes	Yes	Yes	Annual operations budgets and customer requests drive cyclical programming for routine maintenance. Process is supported by trained and experienced staff.
Routine maintenance: Other infrastructure (Parks, reserves & play equipment)	Preventative	Oct-19	Adequate	Jurien Bay Operations Supervisor	Yes	Yes	Yes	Yes	Yes	Cyclical plans are established via zone. Process is supported by trained and experienced staff.
Routine maintenance: Plant, fleet & equipment	Preventative	Oct-19	Effective	Depot Mechanics	No	Yes	Yes	Yes	Yes	Routine maintenance timeframes are established in accordance with hours or kms.
Routine maintenance: buildings	Preventative	Oct-19	Adequate	Manager Buildings	No	No	No	Yes	Yes	Further improvement could be established with documented inspection and works identification. Regular maintenance contracts could also be established given limited internal capacity - e.g. air conditioners, lighting maintenance.
Asset register (roads, buildings, playgrounds, etc)	Detective	Oct-19	Effective	Executive Manager Corporate and Community	Yes	Yes	Yes	Yes	Yes	Asset register linked to finance system and under regular review through Fair Value process.
Asset management plan	Preventative	Oct-19	Inadequate	Executive Manager Corporate and Community	No	Yes	Yes	No	Yes	AMPs are currently under review
Reactive (breakdown) maintenance	Recovery	Oct-19	Adequate	Depot Mechanics and Supervisors	No	Yes	Yes	Yes	Yes	No documented process required for reactive breakdowns
Asbestos register and procedures	Preventative	Oct-19	Adequate	Principal Environmental Health Officer	Yes	Yes	Yes	Yes	Yes	Plan was last updated in 2014.
Licences and training	Preventative	Oct-19	Effective	HR Coordinator	Yes	Yes	Yes	Yes	Yes	Licences checked annually, license upgrades coordinated by HR Coordinator
Heritage Inventory List	Detective	Oct-19	Adequate	Planning Officer	No	Yes	No	Yes	Yes	Municipal Inventory currently under review
Airport maintenance program	Prevent / Detect	Oct-19	Adequate	Rangers	Yes	Yes	Yes	Yes	Yes	Airport is checked on a weekly basis by Rangers and daily by Sky Dive operator. Any deficiencies are reported for rectification.
Marine Asset / Structure Inspections	Prevent / Detect	Oct-19	Adequate	Executive Manager Development Services	No	No	No	No	Yes	At present the Shire has a Jetty and old jetty structure that interface with the marine environment. It also owns a pontoon for swimming. There is not currently a regular preventative maintenance program in place. The old Jurien Bay Jetty may have some structural condition concerns that warrant public notice or engineering works.
Staff Training	Preventative	Oct-19	Effective	HR Coordinator	Yes	Yes	Yes	Yes	Yes	Training matrix and register currently up to date. Regular interface with performance management processes.

Overall Control Ratings: Adequate

Current Actions	Due Date	Responsibility	Status of Actions	Comments
Develop a standard building inspection checklist to ensure annual works are budgeted and completed.	Jun-21	Executive Manager Development Services	Planned	This will be developed once the asset management report has been finalised
Undertake a review and update of the Shire's asbestos register. Develop a planned approach to the removal and replacement.	Jun-20	Principal Environmental Health Officer	Complete	Reviewed annually
Complete the review of the Municipal Heritage Inventory	Jun-21	Planning Officer	Requires Review	Not commenced
Develop a standard airport inspection checklist to ensure all items are checked and	Jun-21	Rangers	Planned	Daily inspections being done
Implement a marine asset inspection and preventative maintenance program.	Jun-21	Executive Manager Development Services	Requires development	This will be implemented once the asset management report has been finalised

Consequence Category	Risk Ratings	Rating	Has the Risk Rating Changed since the last review?	Comments
Service interruption, Financial, Reputation	Consequence: Moderate	Possible	Consequence: Constant	No major changes evident
	Likelihood: Possible		Likelihood: Constant	No major changes evident
	Overall Risk Ratings: Moderate		Risk rating trend since last review	↔

Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments
Asset Consumption Ratio (The ratio highlights the aged condition of stock of physical assets)	Leading	50%				
Asset Renewal Funding Ratio (The financial capacity to fund asset renewal as required, and continue to provide existing levels of services)	Leading	75% - 95%				
Asset Sustainability Ratio (Measures the extent to which assets are replaced as they reach the end of their useful lives)	Leading	90%				
Insurance claims	Lagging	<10 per annum				
Breakdowns > 2 days lost productivity	Lagging	1 per month				
Substantiated complaints about asset conditions	Lagging	<10 per annum				

Comments
 Current maturity of Asset Management Plans restricts validation of asset sustainability performance. Plans are expected to be updated by end of October which will set more informed targets and expenditure requirements.

Business & Community Disruption		Nov-20								
<p>Failure to adequately prepare and respond to events that cause disruption to the local community and / or normal business activities. This could be a natural disaster, weather event, or an act carried out by an external party (e.g. sabotage / terrorism). This includes:</p> <ul style="list-style-type: none"> -Lack of (or inadequate) emergency response / business continuity plans. -Lack of training for specific individuals or availability of appropriate emergency response. -Failure in command and control functions as a result of incorrect initial assessment or untimely awareness of incident. -Inadequacies in environmental awareness and monitoring of fuel loads, curing rates etc. <p><i>This does not include disruptions due to IT Systems or infrastructure related failures - refer "Failure of IT & communication systems and infrastructure".</i></p>										
Potential causes include:										
Cyclone, storm, fire, earthquake	Extended utility outage									
Terrorism / sabotage / criminal behaviour	Economic Factors									
Epidemic / Pandemic	Loss of Key Staff									
Loss of suppliers	Loss of key infrastructure									
Climate change										
Controls Assurance										
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments
Current LEMA & Recovery Plans	Recovery	Oct-19	Adequate	Community Emergency Services Coordinator	Yes	Yes	Yes	Yes	Yes	Plans are currently / regularly being reviewed and updated
Regular LEMC, DEMC meetings	Detective	Oct-19	Effective	Community Emergency Services Coordinator	Yes	Yes	Yes	Yes	Yes	Regularly scheduled, recent improvements in content and relevance.
Business Continuity Framework (Policy, Procedures & Plans)	Preventative	Oct-19	Effective	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Plan recently developed with LGIS.
Fire break / fuel load inspections and enforcement	Detective	Oct-19	Effective	Community Emergency Services Coordinator	No	Yes	Yes	Yes	Yes	Bushfire Risk Management Plan complete. Current network is viewed as effective.
Fully trained fire Wardens	Preventative	Oct-19	Adequate	Executive Manager Development	No	Yes	Yes	Yes	Yes	Building evacuation recently practiced, process of evacuation is not documented except for evacuation maps.
Generator	Recovery	Oct-19	Not Rated							No generator currently in place.
I.T. Disaster Recovery Plan	Recovery	Oct-19	Adequate	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	EMT reviews all incident reports and documents findings and changes required through standing EMT agenda item.
Regular debriefing and reviewing of incidents	Detective	Oct-19	Adequate	EMT	Yes	Yes	Yes	Yes	Yes	EMT reviews all incident reports and documents findings or changes required through standing EMT
Bushfire Risk Management Plan	Detective	Oct-19	Adequate	Bushfire Risk Planning Coordinator	Yes	Yes	Yes	Yes	Yes	Bushfire Risk Management Plan near complete. Current network is viewed as effective.
Overall Control Ratings:			Adequate							
Current Actions		Due Date	Responsibility	Status of Actions					Comments	
Complete Shire's bushfire risk management plan including review of existing firebreak network and planned mitigation activities.		Jun-20	Bushfire Risk Planning Coordinator	Complete					Bushfire risk management plan has been complete and signed off by both the CEO and DFES	
Review Business Contingency Response Plan and combine Management Procedure Manual		Mar-21	EMC	In Progress					Currently being finalised, planning to submit to Council for endorsement in December 2020	
Consequence Category		Risk Ratings		Rating	Has the Risk Rating Changed since the last review?					Comments
Service Interruption / Reputation		Consequence:		Moderate	Consequence: Constant					No major changes evident
		Likelihood:		Possible						
		Overall Risk Ratings:		Moderate		Risk rating trend since last review				
Indicators	Type	Benchmark		Result	Better or worse than Benchmark?	Trend since last review?		Comments		
Non-compliance with Emergency Management Legislation	Leading	Zero		No incidents of non compliance identified	Better					
Number of core service interruptions	Leading	Zero		No incidents of core service interruptions identified.	Better					
Resignations / terminations of key personnel	Lagging	No more than one per 24 months		Within current benchmark.	Better					
Months since last LEMA Exercise	Leading	<12		Last exercise was in September 2019	Better					
Comments				Comments						
Current risk controls associated with Business and Community Disruption are suitable for the Shire's size. There has not however been any major incidents or events that have actually tested the performance of the Shire's management capacity in recent years.				COVID 19 tested the ability of the business to continue operation from home workplaces and under new distancing rules. The Shire performed very well and the transition and response was timely. Minimal service disruption or staff displacement was experienced.						

Failure to Fulfil Compliance Requirements (Statutory, Regulatory)	Nov-20
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Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated internal & public domain legal documentation. It includes (amongst others) the Local Government Act, Planning & Development Act, Health Act, Building Act, Dog Act, Cat Act, Freedom of Information Act and all other legislative based obligations for Local Government.

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

Potential causes include:	
Lack of training, awareness and knowledge	Lack of Legal Expertise
Staff Turnover	No Compliance Officer or person responsible for Compliance oversight and enforcement
Inadequate record keeping/ failure of corporate electronicsystems	Breakdowns in the tender or procurement process
Ineffective policies & processes	Ineffective monitoring of changes to legislation
Impulsive decision making	Attitudinal problems
Councillor turnover	

Key Controls	Type	Date	Rating	Control Owner	Controls Assurance					Comments
					Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	
Audit and Risk Committee	Preventative	Oct-19	Adequate	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Terms of Reference up to date and compliant
Compliance Calendar (Not Current - To be Reviewed)	Preventative	Oct-19	Inadequate							
External Audits (compliance)	Detective	Oct-19	Effective	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Undertaken by Auditor General
Financial management reviews	Detective	Oct-19	Adequate	Chief Executive Officer	No	Yes	Yes	Yes	Yes	Last FMIR completed in 2016. Process is not documented as a scope of works is agreed with consultancy company who complete the audit.
Compliance Audit Return (DLGC)	Detective	Oct-19	Effective	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Completed annually in accordance with legislation.
Councillor / Staff Induction Process	Preventative	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Induction documentation is up to date, additional measure would be to undertake re-induction after 3 months. Subject to staff resources.
Councillor / Staff training	Preventative	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Staff training matrix and plan established. Councillor matrix to be developed based on required learning under new Regs.
Disability inclusion plan	Detective	Oct-19	Effective	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	DAIP up to date and actively implemented.
Tender and Procurement process	Preventative	Oct-19	Effective	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Procurement policy and documentation recently reviewed. Ongoing review and regular training required.
DWER Licencing requirements (Clearing Permits, Waste Facility Licenses)	Preventative	Oct-19	Adequate	Manager Infrastructure Services	Yes	Yes	Yes	Yes	Yes	Clear understanding within key staff of licencing requirements. Improved documentation to be delivered through Strategic Waste Management Plan.
Three year Legislative review of compliance (Reg17)	Detective	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	On track, currently utilising support and documentation from LGIS. Will benefit from external support in next review.

Overall Control Ratings: Adequate

Current Actions	Due Date	Responsibility	Status of Actions	Comments
Review current workforces structure to appoint staff member in charge of internal audit and monitoring benchmarks of Risk Profile tool.	Jun-21	Chief Executive Officer	Not complete	Senior Finance Officer currently assisting CEO
Once staff member appointed, consider implementation of compliance calendar	Dec-21	Chief Executive Officer	Not Complete	No progress to date
Budget for next Reg17 review to be completed with external support.	Nov-22	Chief Executive Officer	Future budget allocation.	Budget 2021/2022
Staff Training on statutory requirements of tender process and register	Dec-20	Chief Executive Officer	Immediate implementation	No progress to date. WALGA training interrupted during 2020
Review statutory declarations throughout the year not just annually eg Financial Interest and	Dec-20		Not complete	No progress to date

Consequence Category	Risk Ratings	Rating	Has the Risk Rating Changed since the last review?	Comments
Reputation, Financial	Consequence:	Major	Consequence: Constant	
	Likelihood:	Unlikely		
Overall Risk Ratings:		Moderate	Risk rating trend since last review	

Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments
3rd party adverse findings against Shire	Lagging	Zero				
Significant Findings in Audit Report	Lagging	=<1				
Increased scrutiny from regulators or agencies	Lagging	Nil				
Compliance breach letters from the Department of Local Government	Lagging	Nil				
Litigation, fines or penalties	Lagging	Nil				
Negative responses in Compliance Audit Return	Lagging	Nil				

Comments
The Risk review found no material findings in relation to compliance requirements other than current significant audit findings in relation to the operating surplus ratio and failure to report an Asset Renewal Funding Ratio. These items are currently being addressed through the development of the Long Term Financial Plan. It was noted that the CBP was not updated / reviewed annually and a process will need to be established to deliver this.

Document Management Processes **Nov-20**

Failure to adequately capture, store, archive, retrieve, provide or dispose of documentation. This includes:
 -Contact lists.
 -Procedural documents, personnel files, complaints.
 -Applications, proposals or documents.
 -Contracts.
 -Forms or requests.

Potential causes include:

Spreadsheet/database/document corruption or loss	Outdated record keeping practices
Inadequate access and / or security levels	Lack of system/application knowledge
Inadequate Storage facilities (including climate control)	High workloads and time pressures
High Staff turnover	Standard Operating Policies not followed
Incompatible systems	Incomplete Authorisation Trails
Lack of awareness of the State Records Act	Lack of awareness of use of network drives and folders
Historical legacies	

Controls Assurance											
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments	
Electronic records management system (capturing, allocating, retention, storage, security, archiving, disposal)	Preventative	Oct-19	Inadequate	Executive Manager Corporate and Community Services	Yes	No	Yes	Yes	Yes	Increasing use of emails as primary written response source sometimes not captured in Records system. Still searchable but not effectively registered. New EDMS currently being scoped and trialled by supplier.	
Document Disaster Recovery Plan	Recovery	Oct-19	Adequate	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Needs updating last Disaster Management plan dated 2005	
Website Content Management	Preventative	Oct-19	Inadequate	Executive Manager Corporate and Community Services	No	Yes	Yes	Yes	Yes	Current CMS and website is ineffective for document storage and ease of public access. In addition would benefit from links to records management system for compliance.	
Document security (physical and electronic)	Preventative	Oct-19	Adequate	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Password protection to appropriate folders. Filing room is looked as appropriate, in particular personnel files.	
Ongoing awareness training and education	Preventative	Oct-19	Adequate	HR Coordinator	No	Yes	Yes	Yes	Yes	Further records based training and refresher training to be provided once new records system is implemented.	
Archive Storage Facility	Preventative	Oct-19	Adequate	Records Officer	No	Yes	Yes	Yes	Yes	No temp controlled archive facility as per best practice.	
Overall Control Ratings:			Inadequate								

Overall Control Ratings: Inadequate

Current Actions	Due Date	Responsibility	Status of Issues / Actions / Treatments	Comments
Develop and install new Electronic Records Management System	Jun-21	Executive Manager Corporate and Community Services	Currently the Shire is working with CouncilFirst to integrate a new EDMS. The product is currently being trialled at Peppermint Grove and is expected to be a better solution than Magiq.	Currently in construction phase
Complete remodelling of Shire website	Jun-20	Manager Customer and Community Services	Complete	
Review and update the Record Keeping Plan & Disaster Management Plan in accordance with State Legislation.	Jun-21	Executive Manager Corporate and Community Services	In progress	First draft done, will be finalised after AvePoint go live
Complete process map for website content management	Jun-21	Manager Customer and Community Services		

Consequence Category	Risk Ratings	Rating	Has the Risk Rating Changed since the last review?	Comments
Compliance / Reputation	Consequence:	Moderate	Consequence: Constant	
	Likelihood:	Possible	Likelihood: Constant	
	Overall Risk Ratings:	Moderate	Risk rating trend since last review	

Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments
% of records not actioned within timeframes	Lagging	<20 per annum.				
Number of documents not stored electronically or archived off-site	Leading	Nil				
Number of outstanding records year to date	Lagging	<50				
Inability to complete FOI due to loss / absence of documentation	Lagging	Nil				

Comments

The current EMDS improvement approach is to implement a fully electronic stored records system which integrates across departments and software platforms, including the capacity to capture incoming and outgoing emails.

Employment Practices		Nov-20									
Failure to effectively manage and lead human resources (full-time, part-time, casuals, temporary and volunteers). This includes: -Not having appropriately qualified or experienced people in the right roles. -Insufficient staff numbers to achieve objectives. -Breaching employee regulations. -Discrimination, harassment & bullying in the workplace. -Poor employee wellbeing (causing stress). -Key person dependencies without effective succession planning in place. -Industrial action											
Potential causes include											
Leadership failures	Ineffective performance management programs or procedures										
Key / single-person dependencies	Limited staff availability - labour market conditions										
Poor internal communications / relationships	Inadequate induction practices										
Ineffective Human Resources policies, procedures and practices	Inconsistent application of policies										
Controls Assurance											
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments	
Human Resource Framework (Policies and Procedures)	Preventative	Oct-19	Effective	HR Coordinator	Yes	Yes	Yes	Yes	Yes	Comprehensive suite of developed and maintained HR policies and procedures.	
Employee Assistance Program & HR support	Recovery	Oct-19	Adequate	CEO / HR Coordinator	Yes	Yes	Yes	Yes	Yes	Supported by EAP through LGIS.	
Recruitment, Selection & Induction process (inc. mandatory licencing / tickets etc)	Preventative	Oct-19	Effective	HR Coordinator	Yes	Yes	Yes	Yes	Yes	Implemented.	
Ongoing staff training and education program	Preventative	Oct-19	Adequate	HR Coordinator	Yes	Yes	Yes	Yes	Yes	Training matrix developed, further integration required with budgeting process and greater activity required from supervisors through performance review process.	
Performance appraisals / Review process	Detective	Oct-19	Adequate	HR Coordinator	Yes	Yes	Yes	Yes	Yes	Sound review documentation and process in place. Greater acceptance and actual delivery of process required by some supervisors.	
Probation checklist	Detective	Oct-19	Effective	HR Coordinator	Yes	Yes	Yes	Yes	Yes	Effective implementation of checklist and ensuring all new staff members receive thorough induction. Could be improved by follow up induction post 3 months.	
Staff multiskilling & rotation	Preventative	Oct-19	Adequate	All managers	No	Yes	Yes	Yes	Yes	Regular staff rotation occurs to manage leave and absence. Primary risk lies at Executive Level skill sets.	
Workforce planning (12 month plan)	Detective	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Current Workforce Plan review is complete, awaiting finalisation of CBP and graphic design.	
Exit interview and exit process	Recovery	Oct-19	Effective	HR Coordinator	Yes	Yes	Yes	Yes	Yes	Process documented and in place. Non-compulsory.	
Overall Control Ratings:			Effective								
Current Actions	Due Date	Responsibility	Status of Actions						Comments		
Implement an employee satisfaction and culture survey to measure current internal climate.	Jun-21	CEO / HR Coordinator	In progress						Culture Survey Completed in October 2020		
Complete restructure and re-employment of staff in customer service / visitor centre operations.	Dec-20	Manager Customer and Community Services	Completed						Two casual Customer Service Officers employed to cover library, reception and visitors centre. Dedicated Library Customer Service Officer employed fulltime who will also assist support the TCVC if needed.		
Consequence Category	Risk Ratings	Rating	Has the Risk Rating Changed since the last review?						Comments		
Compliance, Health, Reputational, Financial	Consequence:	Moderate	Consequence: Constant						Understanding our risks helps prepare		
	Likelihood:	Unlikely	Likelihood: Down								
	Overall Risk Ratings:	Moderate	Risk rating trend since last review								
Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments					
Average absenteeism / unscheduled leave utilisation	Lagging	<8 days per employee (pro-rata)									
Employee Satisfaction survey %	Leading	75%									
Employee Turnover (% Staff turnover rate)	Lagging	<15%									
Average Tenure (Number of years working at the Shire)	Leading	>3.3 years									
Suitable budget for training	Leading	\$60k per annum									
Workers Compensation claims (stress claims)	Lagging	Zero									
# employee inductions completed	Lagging	100%									
Comments			Current employment practices are performing well. A number of benchmarks for this area aim to improve on national averages.								
			Developing a better understanding of our potential risk so can plan and prepare accordingly								

Engagement practices				Nov-20							
<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 includes activities where communication, feedback or consultation is required and where it is in the best interests to do so. For example:</p> <ul style="list-style-type: none"> -Following up on any access & inclusion issues -Infrastructure Projects -Local planning initiatives -Strategic planning initiatives <p>This does not include instances whereby Community expectations have not been met for standard service provisions such as Community Events, Library Services and / or Bus/Transport services.</p>											
Potential causes include:											
Relationship breakdowns with community groups		Short lead times									
Leadership inattention to current issues		Miscommunication / poor communication									
Inadequate documentation or procedures		Inadequate Regional or District Committee attendance.									
Budget / funding issues		Inadequate involvement with, or support of community groups									
Geographic distance		Media attention									
Controls Assurance											
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments	
Community consultation / engagement framework	Preventative	Oct-19	Effective	Manager Customer and Community Service	Yes	Yes	Yes	Yes	Yes	Council policy and management arrangements in place and effective.	
Community-based Committees, forums & workshops	Preventative	Oct-19	Adequate	Manager Customer and Community Service	Yes	Yes	Yes	Yes	Yes	Council and community representation is implemented for single project and ongoing working groups.	
Customer Service Charter	Detective	Oct-19	Adequate	Manager Customer and Community Service	Yes	Yes	Yes	Yes	Yes	Document recently reviewed and updated. Ongoing monitoring required if possible for response times.	
Public Notices / Local papers / website communication	Preventative	Oct-19	Adequate	Manager Customer and Community Service	Yes	Yes	Yes	Yes	Yes	Regular Shire matters produced in addition to other contributions to local newspapers.	
Social media platforms (Facebook, etc)	Preventative	Oct-19	Effective	Manager Customer and Community Service	Yes	Yes	Yes	Yes	Yes	Process map in place to guide posts. Effective utilisation and response evident.	
Strategic Community Plan consultation	Preventative	Oct-19	Effective	Manager Customer and Community Service / CEO	Yes	Yes	Yes	Yes	Yes	Recently completed based on engagement plan which was documented and delivered.	
Support local community Volunteer groups	Preventative	Oct-19	Effective	Manager Customer and Community Service	No	Yes	Yes	Yes	Yes	Process not documented in isolation but covered by many other staff roles, objectives etc.	
Overall Control Ratings:			Effective								
Current Actions			Due Date	Responsibility	Status of Actions					Comments	
Feedback regarding "forgotten" corner (South-East) from September 2019 Dandaragan Council meeting needs to be considered. Commencing with a better understanding of their needs and concerns. Review recent community survey results.			Jun-21	CEO	No actions currently developed to target this area.					Awaiting results of Community Satisfaction Survey to monitor further comments in this topic. Targeted consultation to be carried out with next Strategic Community Plan review.	
Consequence Category		Risk Ratings		Rating	Has the Risk Rating Changed since the last review?					Comments	
Reputation		Consequence: Likelihood:		Moderate Rare	Consequence: Likelihood:					Constant Constant No major changes evident No major changes evident	
Overall Risk Ratings:				Low	Risk rating trend since last review						
Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments					
Community satisfaction score	Lagging	47%	Benchmark taken from result in 2018 Community Survey - How the community is consulted category.								
Number of substantiated complaints referring to poor engagement	Lagging	Zero									
Surprise issues being raised in Council, community or Committee meetings	Lagging	2									
Comments				Overall the level of public consultation and process for is considered effective as was evidenced by success of Envision development. Engagement and response through Social media is also effective and building community trust and support.							

Environment Management		Nov-20								
<p>Inadequate prevention, identification, enforcement and management of environmental issues. The scope includes: -Lack of adequate planning and management of coastal erosion issues. -Failure to identify and effectively manage contaminated sites (including groundwater usage). -Waste facilities (landfill / transfer stations). -Weed & mosquito / Vector control. -Ineffective management of water sources (reclaimed, potable) -Illegal dumping. -Illegal clearing / land use.</p>										
Potential causes include:										
Inadequate management of landfill sites	Inadequate reporting / oversight frameworks									
Lack of understanding / knowledge	Community apathy									
Inadequate local laws / planning schemes	Differing land tenure (land occupancy or ownership conditions)									
Prolific extractive industry (sand, limestone, etc)	Competing land use (growing population vs conservation)									
Poor management of contaminated sites	Weed and pest management difficulties									
Clandestine drug labs disposing of chemicals illegally	Bio-diversity hotspots									
Weather events / natural disasters	Fuel or chemical spills									
Climate change	Illegal firewood collection / burning / hunting									
Complex legislation										
Controls Assurance										
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments
Environmental management compliance / Plan	Preventative	Oct-19	Inadequate	Not Currently Assigned	No	No	No	No	No	Currently there is no staff member position allocated to environmental services.
Landfill / waste transfer station management	Preventative	Oct-19	Adequate	Manager Infrastructure Services	No	Yes	Yes	Yes	Yes	Main site in Jurien is regularly audited by DWER. Strategic Waste Management Plan budgeted for 2019/2020. Compliance operations are managed by experienced staff member. Secondary sites are contracted out with exception of Cervantes transfer station.
Disused landfill sites management/restoration	Recovery	Oct-19	Not Rated							No current sites under rehabilitation or closure. Post closure management plans require development once capacity and lifespans are reviewed.
Support and work with environmental & land care groups	Preventative	Oct-19	Adequate	Various staff	No	Yes	Yes	Yes	Yes	Environmental Grants round recently established. Ongoing partnership with other local landcare and Yued groups in place.
Street litter collection	Preventative	Oct-19	Effective	Manager Infrastructure Services	No	Yes	Yes	Yes	Yes	Process not considered requiring documentation. Regular street collections required given windy environment.
Support of vermin control programs	Preventative	Oct-19	Not Rated							
Volunteer (Friends Groups) recognition & celebration events	Preventative	Oct-19	Not Rated							
Weed control (use of Glyphosate / alternative treatments)	Preventative		Adequate	Executive Manager Infrastructure	Yes	Yes	Yes	Yes	Yes	MSDS / PPE and Safe Work Method Statement in place for herbicide use. Also implementation of ChemCert training to minimise risks.
CHRMAP Policy	Preventative	Oct-19	Adequate	Executive Manager Development	Yes	Yes	Yes	Yes	Yes	CHRMAP is in place and ongoing review. Needs to be utilised for infrastructure and asset decisions in proximity to ocean.
Bushfire Risk Management Plan / Prescribed Burning Mitigation Strategy	Preventative	Dec-20	Inadequate	Bushfire Risk Planning Coordinator / CESC	No	Yes	No	No	No	Plan / Strategy currently in development
Overall Control Ratings:			Adequate							
Current Actions		Due Date	Responsibility	Status of Actions					Comments	
Consider the medium term appointment of a staff member to coordinate environmental responsibilities and projects.		Jun-21	CEO	Not an urgent workforce plan priority.					Scheduled for future Workforce Plan. Some elements of the role currently being done by Operations Supervisor (Julie)	
Complete Strategic Waste Management Plan		Jun-20	Principal Environmental Health Officer	Complete						
Complete the Bushfire Risk Management Plan		Dec-20	Bushfire Risk Planning Coordinator / CESC	Complete					Currently being finalised, planning to submit to Council for endorsement in December 2020. Next step is to submit mitigation activities for consideration for MAF funding.	
Establish and implement project team for Prescribed Burning Mitigation Strategy		Dec-20	CEC	Complete					Team established, plan developed, mitigation activities commenced and continuing.	
Consequence Category		Risk Ratings		Rating	Has the Risk Rating Changed since the last review?					Comments
Environment, Reputation, Financial		Consequence:		Major	Consequence: Constant					
		Likelihood:		Possible						
		Overall Risk Ratings:				High	Risk rating trend since last review			
Indicators		Type	Benchmark		Result			Better or worse than Benchmark?	Trend since last review?	Comments
Number of validated environmental incidents		Lagging	Zero							
Recycling contamination rate		Lagging	<25%							
# Non-compliance notifications received (e.g. DWER)		Lagging	Zero							
Comments		Comments								
Environmental practices are currently exercised however would benefit from a coordinated approach and increase in prioritisation through the appointment of a designated staff member.										

Errors, Omissions and Delays **Nov-20**

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

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

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

Potential causes include:

Human error	Incorrect information
Inadequate formal procedures or training	Miscommunication
Lack of trained staff	Work pressure / stress
Poor use of check sheets / FAQ's	Lack of understanding
Unrealistic expectations from community, council or management	Health issues
Poor internal communication between teams	Historical decisions / advice
Disconnect between financial receipting and systems	Complex legislation
Changes to legislation	

Key Controls	Type	Date	Rating	Control Owner	Controls Assurance					Comments
					Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	
Customer Service Requests tracking	Detective	Oct-19	Adequate	Manager Customer and Community Service	Yes	Yes	Yes	Yes	Yes	Customer request system is in place but lacks business intelligence, mapping etc due to excel base.
Staff training (mentoring, formal, peer-review & on-the-job)	Preventative	Oct-19	Adequate	Various Supervisors	Yes	Yes	Yes	Yes	Yes	Requires multi-departmental approach to effective network of training.
Delegations register	Preventative	Oct-19	Effective	CEO	Yes	Yes	Yes	Yes	Yes	Recently updated in line with WALGA model.
Complaints Management Framework/Register	Preventative	Oct-19	Adequate	Manager Customer and Community Service	Yes	Yes	Yes	Yes	Yes	Complaints managed via request / records system and assigned to appropriate Executive Manager.
Documented Procedures / Checklists	Preventative	Oct-19	Adequate	Various Supervisors	Yes	Yes	Yes	Yes	Yes	Increasing utilisation of procedures and process mapping to guide consistency.
Segregation of duties (Internal Financial control framework)	Preventative	Oct-19	Adequate	Executive Manager Corporate and Community Service	Yes	Yes	Yes	Yes	Yes	Segregation is limited based on total workforce size, reviewed by Auditor General and no adverse findings made.
Staff inductions	Preventative	Oct-19	Effective	HR Coordinator	Yes	Yes	Yes	Yes	Yes	Effective induction process in place.
Effective Project Management Systems	Preventative	Oct-19	Adequate	CEO	Yes	Yes	Yes	Yes	Yes	Effective training has commenced roll out to supplement existing project management templates and processes.
Overall Control Ratings:			Adequate							

Current Actions	Due Date	Responsibility	Status of Actions	Comments
Continue process mapping working group to review and address complex processes.	Ongoing	Various	Ongoing	OPRWG committee formed with terms of reference

Consequence Category	Risk Ratings	Rating	Has the Risk Rating Changed since the last review?	Comments
Reputation / Compliance	Consequence:	Minor	Consequence:	
	Likelihood:	Possible	Likelihood:	
	Overall Risk Ratings:	Moderate	Risk rating trend since last review	

Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments
Litigation from poor decision making	Lagging	Zero				
Substantiated complaints regarding errors, omissions, delays or inaccurate advice / information (inc. from Ombudsman, DLGC)	Lagging	Zero				
Formal apologies issued due to errors, omissions	Lagging	Zero				

Comments

External Theft and Fraud (inc. Cyber Crime)	Nov-20
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Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means (including electronic), for the purposes of:
 -Fraud: benefit or gain by deceit
 -Malicious Damage: hacking, deleting, breaking or reducing the integrity or performance of systems
 -Theft: stealing of data, assets or information

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

Controls Assurance											
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments	
Building security access controls (keys, proxy card, monitored alarms, CCTV, keypad access)	Preventative	Oct-19	Adequate	Manager Building Services	No	Yes	Yes	Yes	Yes	CCTV procedures not documented but are in place.	
Accounts Payable and Payroll Process (verification & segregation of approvals/duties)	Preventative	Oct-19	Effective	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Process documented and mapped. Reviewed by Auditor General.	
Record of assets (fixed, minor and attractive items)	Recovery	Oct-19	Effective	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Process documented and mapped. Reviewed by Auditor General.	
Cash handling processes	Preventative	Oct-19	Adequate	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Process documented and mapped. Reviewed by Auditor General.	
Depot security access controls (manned during business hours, locked after hours) High value portable goods locked up in secure spaces	Preventative	Oct-19	Adequate	Manager Infrastructure Services	No	Yes	Yes	Yes	Yes	Process not documented but managed by automatic gates and supervisors in Jurien. Manually locked depot and gates in Dandaragan managed by Supervisor.	
Security patrols (regular and ad hoc)	Preventative	Oct-19	Adequate	Rangers	No	Yes	Yes	Yes	Yes	Random security patrols provided by Ranger services within operational hours.	
IT Security Framework (Staff Awareness / Profile Mgt / usage protocols)	Preventative	Oct-19	Adequate	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Would benefit from further ongoing training to staff regarding security. EMCCS is currently developing IT Plan.	
Contractor/Visitor sign in	Preventative	Oct-19	Not Rated							Visitors and contractors are escorted personally by supervising staff members. Size of office doesn't require visitor login book.	
Overall Control Ratings:			Adequate								

Current Actions	Due Date	Responsibility	Status of Actions	Comments
Complete the IT Plan to document key security controls and planning for future improvement.	Dec-20	Executive Manager Corporate and Community Services.	In Progress	Currently drafting
Ongoing dissemination of information regarding IT scams and procurement risks.	Ongoing	Various	Ongoing	
Consider further rollout of CCTV to Shire Depots	Dec-20	Manager Infrastructure Services	Subject to review	No progress

Consequence Category	Risk Ratings	Rating	Has the Risk Rating Changed since the last review?	Comments
Financial / Property	Consequence:	Moderate	Consequence:	Constant
	Likelihood:	Unlikely	Likelihood:	Constant
	Overall Risk Ratings:	Moderate	Risk rating trend since last review	

Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments
Cyber breaches	Lagging	Zero				
Insurance claims relating to Theft and Fraud	Lagging	Zero				
# Incidents (per month/quarter/year)	Lagging	Zero				
% non-operational CCTV's	Leading	Zero				

<p>Comments</p> <p>1 case of external fraud was observed over the past 2 years. This related to an external party passing themselves off as a staff member and amending bank details. The matter resulted in a small loss which was covered by insurance. There have been no reports of property theft from either the Shire office or depots in the last two years.</p>	<p>Comments</p> <p>Further fraudulent attempts have been made via email to change bank details, however new procedures have caught these before any detriment to the Shire.</p>
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Management of Facilities, Venues and Events	Nov-20	
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Failure to effectively manage the day to day operations of facilities, venues and / or events. This includes:
 -Inadequate procedures in place to manage quality or availability.
 -Poor crowd control
 -Ineffective signage
 -Booking issues
 -Stressful interactions with hirers / users (financial issues or not adhering to rules of use of facility)
 -Inadequate oversight or provision of peripheral services (e.g., cleaning / maintenance)

Potential causes include:

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

Controls Assurance										
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments
Booking Systems (Key return / Bond return system / check of facility after use)	Preventative	Oct-19	Effective	Manager Customer and Community Service	Yes	Yes	Yes	Yes	Yes	Bookings procedure in place for business and after hours in relation to Civic Centre and foreshore open space. Community Recreation facilities are managed by community groups.
External Event Management Program	Prevent / Detect	Oct-19	Adequate	Manager Customer and Community Service	Yes	Yes	Yes	Yes	Yes	Thorough Event Management process in place to review proposals and mitigate risk. Additional FAQs and risk management templates would add further value for community groups.
Internal Event Management Program	Prevent / Detect	Oct-19	Effective	Manager Customer and Community Service	Yes	Yes	Yes	Yes	Yes	Thorough Event Management process in place assisted by project management framework. Staff also liaise with LGISWA to review and mitigate risks at events.
Insurance for loss	Recovery	Oct-19	Effective	Manager Customer and Community Service	Yes	Yes	Yes	Yes	Yes	Insurance policies regularly reviewed and implemented. Process for ensuring any certificates of currency are reviewed for exclusions relating to the event.
Lease agreements for Shire facilities	Preventative	Oct-19	Effective	Club Development Officer	Yes	Yes	Yes	Yes	Yes	Template lease system in place to establish and monitor leases. Most are done at peppercorn rates.
Routine inspection and maintenance schedules for community facilities, playgrounds, ovals and skate park	Detective	Oct-19	Adequate	Works Supervisors	Yes	Yes	Yes	Yes	Yes	Inspection sheets in place for playgrounds. Increased evidence of documentation required and to be lodged in records system.
Royal Life Saving Society assessments	Preventative	Oct-19	Not Rated							No recent beach access and safety review completed.
Overall Control Ratings:			Adequate							

Current Actions	Due Date	Responsibility	Status of Actions	Comments
Provide refresher training for staff members engaged in playground maintenance and inspection. Update inspection forms and link to Shire records system.	Dec-20	HR Coordinator /	Training planned	
Investigate, review and implement liability mitigation measures for Julien Bay Jetty		Manager Infrastructure Services	In progress	Inspection has been complete

Consequence Category	Risk Ratings	Rating	Has the Risk Rating Changed since the last review?	Comments
Reputation	Consequence:	Minor	Consequence: Constant Likelihood: Constant	Risk rating trend since last review
	Likelihood:	Unlikely		
	Overall Risk Ratings:		Low	

Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments
% Community perception score (facilities)	Leading	57%	Benchmark taken from 2018 Community Survey - Community Buildings, Halls, Toilets category.			
# Complaints regarding facilities	Lagging	Zero				
Injuries / incidents at events / facilities	Lagging	Zero				
Reactive maintenance activity after discovery by event holders.	Lagging	Zero				
Double bookings / errors	Lagging	Zero				

Comments

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IT, Communication Systems and Infrastructure		Nov-20								
<p>Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the community. This may or may not result in IT Disaster Recovery Plans being invoked. Examples include failures or disruptions caused by:</p> <ul style="list-style-type: none"> -Hardware or software -Networks -Failures of IT Vendors <p>This also includes where poor governance results in the breakdown of IT maintenance such as:</p> <ul style="list-style-type: none"> -Configuration management -Performance monitoring <p>This does not include new system implementations - refer 'Inadequate Project / Change Management'.</p>										
Potential causes include:										
Weather impacts	Non-renewal of licences									
Power outage on site or at service provider	Inadequate IT incident, problem management & Disaster Recovery Processes									
Out-dated, inefficient or unsupported hardware or software	Lack of process and training									
Incompatibility between operating systems	Vulnerability to user error									
Cyber crime and viruses	Failure of vendor									
Turnover of system administration support	Equipment purchases without input from IT department									
Software vulnerability										
Controls Assurance										
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments
IT security access protocols & infrastructure security	Preventative	Oct-19	Adequate	Executive Manager	No	Yes	Yes	Yes	Yes	Process is understood by EMCCS and Bridged but still requires formal documentation
Multiple data back-up systems	Recovery	Oct-19	Effective	Executive Manager Corporate & Community	No	Yes	Yes	Yes	Yes	Automated system function with failure reporting. Infrastructure end of life requires transition to cloud
Vendor Support Program (i.e. Software licencing, software patching, maintenance, renewals, updates etc)			Effective	Executive Manager Corporate & Community	Yes	Yes	Yes	Yes	Yes	
Generator (Admin building)	Recovery	Oct-19	Not Rated							Has not been prioritised as a need
Disaster Recovery Plan	Recovery	Oct-19	Effective	Executive Manager	Yes	Yes	Yes	Yes	Yes	
Formal IT Infrastructure replacement / refresh program	Preventative	Oct-19	Adequate	Executive Manager	No	Yes	Yes	Yes	Yes	Transitioning from infrastructure to cloud based software as a service
Comms Infrastructure (Vlog, 2 way, WAERN, Mobile & Sat)	Recovery	Oct-19	Effective	Executive Manager	Yes	Yes	Yes	Yes	Yes	
Ongoing upgrades to virus protection	Preventative	Oct-19	Effective	Executive Manager	Yes	Yes	Yes	Yes	Yes	
Performance monitoring	Detective	Oct-19	Effective	Executive Manager	Yes	Yes	Yes	Yes	Yes	
Backup Power Sources	Recovery	Oct-19	Adequate	Executive Manager	No	Yes	Yes	Yes	Yes	
Overall Control Ratings:			Adequate							
Current Actions		Due Date	Responsibility	Status of Actions						Comments
Complete IT access and protocols documentation with Bridged		Jun-21	Executive Manager Corporate and Community Services	In Progress						Currently drafting
Consequence Category	Risk Ratings		Rating	Has the Risk Rating Changed since the last review?						Comments
Service disruption	Consequence:		Moderate	Consequence:						Constant
	Likelihood:		Possible	Likelihood:						Constant
	Overall Risk Ratings:			Moderate	Risk rating trend since last review					
Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?					Comments
Cyber breaches	Lagging	Zero								
System availability %	Lagging	98%								
# loaded incidents	Lagging	Zero								
Comments				Comments						

Misconduct		Nov-20								
<p>Intentional activities in excess of authority granted to an employee, which circumvent endorsed policies, procedures or delegated authority. This would include instances of:</p> <ul style="list-style-type: none"> -Relevant authorisations not obtained. -Distributing confidential information. -Accessing systems and / or applications without correct authority to do so. -Misrepresenting data in reports. -Theft by an employee -Inappropriate use of plant, equipment or machinery -Inappropriate use of social media. -Inappropriate behaviour at work. -Purposeful sabotage <p>This does not include instances where it was not an intentional breach - refer Errors, Omissions or Delays, or Inaccurate Advice / Information.</p>										
Potential causes include:										
Inadequate training of code of conduct \ induction	Greed, gambling or sense of entitlement									
Changing of job roles and functions/authorities	Collusion between internal & external parties									
Delegated authority process inadequately implemented	Password sharing									
Disgruntled employees	Sharing of confidential information									
Lack of internal checks	Low level of Supervisor or Management oversight									
Covering up poor work performance	Believe they'll get away with it									
Poor enforcement of policies and procedures	Undue influence from Manager / Councillor									
Information leaked to Tenderers during the Tender process	Poor work culture									
Insubordination	By-passing established administrative procedures									
Controls Assurance										
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments
Induction Process (Code of Conduct)	Preventative	Oct-19	Adequate	HR Coordinator	Yes	Yes	Yes	Yes	Yes	All new staff are provided with Code of Conduct and sign to confirm receipt and agreement
IT security access framework (profiles & passwords)	Preventative	Oct-19	Effective	Executive Manager	Yes	Yes	Yes	Yes	Yes	Changes and locked
Segregation of duties (Internal Financial Control Framework / Delegations register)	Preventative	Oct-19	Adequate	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Segregations appropriate for Shire size. Externally audited and reviewed by Auditor General
Authorisation control - Authority	Preventative	Oct-19	Adequate	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Addressed through purchasing policy and delegations. Reviewed by Auditor General in sampling.
Cash Handling procedures	Preventative	Oct-19	Adequate	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Cash handling appropriate for Shire's size. Externally audited and reviewed by Auditor General. Main risks lie with Sandy Cape receipts and Pioneer Park receipts.
Credit Card & Fuel Card management	Preventative	Oct-19	Adequate	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Credit Card process is closely monitored, reviewed at multiple layers. Difficult to audit and complete verify fuel card use is quarantined to approved use and designated vehicles.
Elected Member Code of Conduct training	Preventative	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Completed through induction process and ongoing review with elected members. Level of understanding and acceptance is difficult to measure. Additional external training support provided through legislative requirements.
Minor and attractive asset stocktakes	Detective	Oct-19	Inadequate	Executive Manager Corporate and Community Services	No	No	No	No	No	Minor and attractive assets only recently catalogued and provided with unique identifiers to provide stocktake capability.
Police clearances	Detective	Oct-19	Effective	HR Coordinator	Yes	Yes	Yes	Yes	Yes	Part of standard employment / recruitment process.
Social Media Policy	Preventative	Oct-19	Not Rated	Chief Executive Officer						No current social media policy in place for elected members, not considered necessary but should continue to be monitored.
Stock control and reconciliation	Detective	Oct-19	Adequate	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Generally limited to fuel however other aspects of supplies held in Depots could be considered as stock - e.g. nursery, chemical, mulch etc.
Culture (low tolerance for misconduct)	Preventative	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Difficult to measure but a number of cases of potential misconduct have been reported promptly to management for review.
Tender and procurement process	Preventative	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Well documented and supported with external agents in complex procurement.
Working with Children Checks	Preventative	Oct-19	Adequate	Manager Customer and Community Service	No	Yes	Yes	Yes	Yes	No current documented process for identifying when WWC cards are required. Generally considered as part of event approval process.
Overall Control Ratings:			Adequate							
Current Actions	Due Date	Responsibility	Status of Actions	Comments						
Review whether a formal process or policy is required for establishing when staff need WWC	Jun-21	Manager Customer and Community Service	Review required	No action taken						
Review with elected members whether there is a need for a social media policy that encompasses Councillors	Jun-21	Manager Customer and Community Service	Review required	No action taken, will raise with CEO						
Consider increasing scope of stocktakes to include other materials such as Nursery stock, gravel, mulch and chemical held within Shire depots.	Jun-21	Executive Manager Corporate and Community Service	Review required	Internal financial processing can occur. Dependant on Infrastructure team having resources to track stocking, drawdown, stocktake function.						
Implementing annual reminder of Code of Conduct for Staff and elected members	Jun-21	HR / Robyn	Consider implementation as part of end of year processes.	No action taken on this one yet for staff.						
Consequence Category	Risk Ratings	Rating	Has the Risk Rating Changed since the last review?	Comments						
Reputation / Finance	Consequence:	Moderate	Consequence:	Constant						
	Likelihood:	Unlikely	Likelihood:	Constant						
	Overall Risk Ratings:	Moderate	Risk rating trend since last review							
Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments				
Budget variances	Lagging	10%								
Qualified Audit Opinions	Lagging	Zero								
Incidents warranting dismissal	Lagging	Zero								
Willful breach of segregation of duties	Leading	Zero								
Suppliers not being paid or complaints from suppliers (not involved in collusion or bribery with staff)	Lagging	Zero								
Disregarding or manipulating procurement process for own benefit	Leading	Zero								
% staff with greater than 20 days accrued leave	Leading	5%								
% staff that have not had 10 consecutive days leave in 12 mths	Leading	Zero								
# complaints regarding misconduct (internal / external)	Lagging	Zero								
# financial audit issues identified (segregation of duties related)	Lagging	Zero								
Internal and external complaints / whistleblowing	Lagging	Zero								
Comments										

Project / Change Management		Nov-20									
Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time delays or scope changes. This includes: -Inadequate change management framework to manage and monitor change activities. -Inadequate understanding of the impact of project change on the business. -Failures in the transition of projects into standard operations. -Failure to implement new systems -Inadequate handover process This does not include new plant & equipment purchases. Refer "Inadequate Asset Sustainability Practices"											
Potential causes include:											
Lack of communication and consultation	Excessive number of projects										
Lack of investment	Inadequate monitoring and review										
Ineffective management of expectations (scope creep)	Project risks not managed effectively										
Inadequate project planning (resources/budget)	Lack of project methodology knowledge and reporting requirements										
Failures of project Vendors/Contractors	Geographic or transport difficulties sourcing equipment / materials										
External consultants underquoting on costs											
Controls Assurance											
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments	
Formal project management procedures	Preventative	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Project management training in rollout phase. Established project planning templates in place.	
Clear / formal project approval, allocation, ownership, management, governance	Preventative	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Led by CBP and budget process.	
Stakeholder meetings and consultation	Preventative	Oct-19	Effective	Manager Customer and Community Services	Yes	Yes	Yes	Yes	Yes	Public consultation policy in place. Effective and supported by Ems.	
Project status reporting to Council	Detective	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Multi-faceted approach currently but will be improved following the endorsement of the CBP.	
Post-major project debriefs	Detective	Oct-19	Inadequate	Various EM's	No	No	No	No	No	No current process for major project debrief and lessons learnt unless there is a major failure.	
Integrated Planning Framework	Preventative	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Most are in advanced draft stage and provide coordinated guidance for project delivery.	
Overall Control Ratings:			Adequate								
Current Actions		Due Date	Responsibility	Status of Actions						Comments	
Implement standard project debriefing process for major projects with lessons learnt and outcomes based report to capture project learnings and prevent future errors.		Dec-20	CEO	To be built into project planning methodology and reporting for major and unique projects.						To be initiated post Jurien Bay foreshore Stage 1.	
Consequence Category		Risk Ratings		Rating	Has the Risk Rating Changed since the last review?				Comments		
Financial / Reputational / Health		Consequence:		Moderate	Consequence:				Constant		
		Likelihood:		Possible	Likelihood:				Constant		
		Overall Risk Ratings:		Moderate	Risk rating trend since last review						
Indicators	Type	Benchmark		Result	Better or worse than Benchmark?	Trend since last review?	Comments				
Missed deadlines / milestones >10%	Lagging	1 per annum									
Budget overruns / blowouts >10%	Lagging	Nil									
Failed primary objectives	Lagging	Nil									
# project budget change requests (scope or ineffective budgeting)	Lagging	Nil									
Comments				Comments							
Project planning methodology is improving and will receive greater guidance from CBP planning process. Once CBP is adopted greater focus will be required from project managers to develop their project plans prior to budget approvals.											

Safety and Security Practices				Nov-20						
<p>Non-compliance with the Occupation Safety & Health Act, associated regulations and standards. It is also the inability to ensure the physical security requirements of staff, contractors and visitors. Other considerations are negligence or carelessness.</p>										
Potential causes include:										
Lack of appropriate PPE / equipment		Inadequate signage, barriers or other exclusion techniques								
Inadequate first aid supplies or trained first aiders		Poor storage and use of dangerous goods								
Inadequate security protection measures in place for buildings, depots and other places of work		Ineffective / inadequate testing, sampling or other health-related requirements								
Inadequate or unsafe modifications to plant & equipment		Lack of mandate and commitment from senior management								
Inadequate policy, frameworks, systems and structure to prevent the injury of visitors, staff, contractors and/or tenants.		Inadequate organisational Emergency Management requirements (evacuation diagrams, drills, wardens etc).								
Inadequate supervision, training or mentoring of staff		Slow or inadequate response to notifications from public								
Controls Assurance										
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments
Contractor / Staff site inductions	Preventative	Oct-19	Adequate	Principal Environmental Health Officer / Various Supervisors	No	Yes	No	No	Yes	Contractor induction process currently in place. Up to individual Managers to ensure Part A & B are complete. No overseer that this is done for all contracts.
Management commitment / culture	Preventative	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	CEO chairs Safety Working Group, all incidents reported to EMT and safety features at all staff or toolbox meetings.
Internal Emergency Management Framework (EPC, ECO, evac diagrams & drills)	Preventative	Oct-19	Effective	Principal Environmental Health Officer / Various Supervisors	Yes	Yes	Yes	Yes	Yes	Drills and diagrams recently updated and reviewed with support from LGIS.
OSH Committee	Preventative	Oct-19	Adequate	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Currently in Safety Working Group formal rather than formal committee as described within legislation.
Asbestos register and procedures	Detective	Oct-19	Effective	Principal Environmental Health Officer	Yes	Yes	Yes	Yes	Yes	Asbestos register was last updated in 2014. May require updating if any removal has been undertaken.
Drug and alcohol Policy	Preventative	Oct-19	Effective	HR Coordinator	Yes	Yes	Yes	Yes	Yes	Regularly reviewed, updated. Regular testing in place for random and post incident.
Duress alarm	Recovery	Oct-19	Effective	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Duress alarm in place for Shire Office.
Fitness for Work checks	Preventative	Oct-19	Adequate	HR Coordinator / EM's	Yes	Yes	Yes	Yes	Yes	Pre-employment medical. Also required for return to work from injury.
Incident reporting culture & procedures	Detective	Oct-19	Effective	Chief Executive Officer	Yes	Yes	Yes	Yes	Yes	Regular reports received and reviewed by multiple parties within the organisation.
Hazard / incident register	Detective	Oct-19	Adequate	Principal Environmental Health Officer	Yes	Yes	Yes	Yes	Yes	Currently in place and reported through to Safety Working Group. Increased follow-up, reminders required to implement faster change.
Hazardous Substance and Dangerous Goods registers	Detective	Oct-19	Effective	Principal Environmental Health Officer	Yes	Yes	Yes	Yes	Yes	All in place. Still requires ongoing vigilance from Supervisors to maintain when buying new chemical.
Isolated worker management	Preventative	Oct-19	Inadequate	Executive Manager Infrastructure						Do we have this process documented? What is in place for Visitors Centre on weekends? Seems that one worker alone in entire precinct poses some risk.
LGIS OSH / Safety Audit / Workplace inspections	Preventative	Oct-19	Effective	Principal Environmental Health Officer	Yes	Yes	Yes	Yes	Yes	Regular inspections, reliant on consistent level of service from LGISWA which has been impacted by staff tenure / illness of late.
Pre-start Plant and light vehicle inspections	Preventative	Oct-19	Effective	Executive Manager Infrastructure	Yes	Yes	Yes	Yes	Yes	Take 5s and Prestart checklists in place.
Provision of PPE	Preventative	Oct-19	Effective	Executive Manager Infrastructure	Yes	Yes	Yes	Yes	Yes	All PPE required is purchased as needed.
Report on incidents & near misses	Detective	Oct-19	Effective	Principal Environmental Health Officer	Yes	Yes	Yes	Yes	Yes	Process in place, multiple staff review each incident and reports then submitted to Safety Working Group and EMT.
Safe work practices (Safe Work Method Statements)	Preventative	Oct-19	Adequate	Executive Manager Infrastructure	Yes	Yes	Yes	Yes	Yes	Generally in place for all risky activities. Further improvement could be made at supervisor level to regularly reinforce and ensure they are being utilised.
Toolbox / Team safety meetings	Preventative	Oct-19	Effective	Works Supervisors	Yes	Yes	Yes	Yes	Yes	In place.
Trained first aiders	Preventative	Oct-19	Effective	HR Coordinator	Yes	Yes	Yes	Yes	Yes	Regular training provided. Do we have a confirmed list / renewal dates etc.
Maintain health protocols and implement recommendations in accordance with advice from the State Government.	Preventative	Oct-19	Adequate	Principal Environmental Health Officer	No	Yes	Yes	Yes	Yes	Action undertaken during Covid19 pandemic. Procedures created for reporting.
Overall Control Ratings:				Adequate						
Current Actions	Due Date	Responsibility	Status of Issues / Actions / Treatments	Comments						
Regularly review hazard and incident register and assign rectification needs to officers with timeframes for completion.	Jun-21	PEHO	Ongoing	Safety Working Group & EMT						
Establish a schedule of workplace inspections to guide regular inspection process with assistance from LGIS.	Jun-21	PEHO	Ongoing	To be arranged with LGIS						
Establish contractor induction process and deliver first rollout of inductions to regular local contractors	Mar-21	PEHO	Commenced	Induction process started, Part A & B. Individual managers responsible for inductions. Not fail safe, can't be certain all have been done.						
Review the current staffing arrangements for the Visitors Centre on weekends, consider implementation of casual or volunteer roles to remove isolated worker risks.	Jun-21	Manager Customer and Community Services	In progress	Have discussed with PEHO who requested advice from LGIS Risk Coordinator who advised that he can provide info on what sorts of emergency procedures exist in these circumstances. I have requested more information from Shire HRC re current induction procedures for customer service staff as they may be about to adapt something we already utilise that would be tied into the Shire Risk Management system.						
Maintain health protocols and implement recommendations in accordance with advice from the State Government.	Oct-20	Principal Environmental Health Officer	In progress	Procedures for receiving and delivering important health advice tested during Covid19 pandemic						
Consequence Category	Risk Ratings	Rating	Has the Risk Rating Changed since the last review?	Comments						
Health	Consequence: Major	Possible	Constant	Constant						
	Likelihood: Possible	Possible	Constant	Constant						
Overall Risk Ratings:		High	Risk rating trend since last review							
Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments				
Safety Audit Result %	Leading	75%								
# scheduled workplace inspections not completed	Leading	Zero								
# Worksafe notifications	Leading	Zero								
# incidents per month / quarter / year	Lagging	>2 preventable incidents per month								
Workers Compensation claims	Lagging	1 per annum								
Comments			Comments							
Generally the Shire's safety systems are in good shape but ongoing improvement is always needed. 1 major incident was observed over the past 2 years which resulted in a truck rollover. The primary finding of that investigation was the incident resulted from driver error and distraction. Additional training and the completion of a take 5 in accordance with the SWMS may have avoided the accident. Another major incident resulted from poor manual handling technique and housekeeping resulting in a significant back injury and extensive workers compensation claim.			An accident with the septic truck refreshed staff on the consequences and the Shire's zero tolerance of drugs and alcohol.							

Supplier and Contract Management		Nov-20								
Inadequate management of external Suppliers, Contractors, IT Vendors or Consultants engaged for core operations. This includes issues that arise from the ongoing supply of services or failures in contract management & monitoring processes. This also includes: • Concentration issues (contracts awarded to one supplier) • Vendor sustainability										
Potential causes include:										
Insufficient funding	Inadequate contract management practices									
Complexity and quantity of work	Ineffective monitoring of deliverables									
Inadequate tendering process	Lack of planning and clarity of requirements									
Contracts not renewed on time	Historical contracts remaining									
Suppliers not willing to provide quotes	Limited availability of suppliers									
Controls Assurance										
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments
Procurement Management Framework (Policy, Procedures, Systems, Segregation of duties, delegations)	Preventative	Oct-19	Effective	Executive Manager Corporate and Community Services	Yes	Yes	Yes	Yes	Yes	Procurement policy and procedures recently updated. Fully audited by Auditor General with no material matters identified.
Contract Management Framework (register, renewal reminders, contractor insurance checks & reviews of contract arrangements)	Preventative	Oct-19	Adequate	Various	Yes	Yes	Yes	Yes	Yes	Contracts in place but process map still to be finalised. Multiple sources of contract development leave some scope for differing standards however the consequences of this are considered minor. 1 cleaning contract and 2 waste transfer station contracts were being held over in monthly arrangements while new procurement process was undertaken. This indicates better end of contract procedures need to be implemented.
Supervision of contractors on site	Detective	Oct-19	Adequate	Various	No	No	Yes	Yes	Yes	Supervision is generally completed Post works rather than supervising contractors directly. No formal process considered necessary.
e-Quotes (WALGA)	Preventative	Oct-19	Not Rated							e-quotes only occasionally used. Preference is to use internal RFQ process and panel of preferred suppliers.
Overall Control Ratings:			Adequate							
Current Actions	Due Date	Responsibility	Status of Actions						Comments	
Complete the development of the contract development and monitoring process map to avoid supply relationships being held over on monthly arrangements.	Jun-21	Senior Finance Officer/ CIS	In progress						CIS drafted policy and templates.	
Continue rollout of standard contract for goods and services in accordance with WALGA procurement toolkit	Ongoing	Executive Manager Corporate and Community Services	Process commenced, requires ongoing adherence.						Consider reallocating this action to Infrastructure team?	
Introduce and maintain contractor inductions process	Jun-21	CIS	In progress						Commenced. Evaluate, monitor, improve and maintain	
Consequence Category	Risk Ratings		Rating	Has the Risk Rating Changed since the last review?					Comments	
Service interruption, Financial	Consequence:		Moderate	Consequence: Constant						
	Likelihood:		Possible	Likelihood: Constant						
	Overall Risk Ratings:			Moderate	Risk rating trend since last review					
Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments				
Validated supplier complaints of uncompetitive procurement process	Leading	Zero								
Adverse audit findings relating to contracts	Lagging	Zero								
# Expired Contracts still being carried over	Lagging	Zero								
Comments				Comments						
Overall current contractual arrangements are suitable, compliant and in line with needs of the organisation. Improved contract tracking and end of contract process will be implemented through process map and avoid cases where contractual arrangements are being held over on monthly arrangements. Wider utilisation of WALGA procurement toolkit and RFQ process will minimise risk.										

Shire of Wiluna Measures of Consequence									
Rating(Level)	Health	Financial Impact	Service Interruption	Compliance	Reputational	Property	Environment	Project TIME	Project COST
Insignificant (1)	Near miss. Minor first aid injuries	Less than \$20,000	No material service interruption	No noticeable regulatory or statutory impact	Unsubstantiated, low impact, low profile or no news' item	Inconsequential damage.	Contained, reversible impact managed by on site response	Exceeds deadline by 10% of project timeline	Exceeds project budget by 10%
Minor (2)	Medical type injuries	\$20,001 - \$100,000	Short term temporary interruption – backlog cleared < 1 day	Some temporary non-compliances	Substantiated, low impact, low news item	Localised damage rectified by routine internal procedures	Contained, reversible impact managed by internal response	Exceeds deadline by 15% of project timeline	Exceeds project budget by 15%
Moderate (3)	Lost time injury <30 days	\$100,001 - \$500,000	Medium term temporary interruption – backlog cleared by additional resources < 1 week	Short term non-compliance but with significant regulatory requirements imposed	Substantiated, public embarrassment, moderate impact, moderate news profile	Localised damage requiring external resources to rectify	Contained, reversible impact managed by external agencies	Exceeds deadline by 20% of project timeline	Exceeds project budget by 20%
Major (4)	Lost time injury >30 days	\$500,001 - \$1,000,000	Prolonged interruption of services – additional resources; performance affected < 1 month	Non-compliance results in litigation, criminal charges or significant damages or imposed penalties	Substantiated, public embarrassment, high impact, high news profile, third party actions	Significant damage requiring internal & external resources to rectify	Uncontained, reversible impact managed by a coordinated response from external agencies	Exceeds deadline by 25% of project timeline	Exceeds project budget by 25%
Catastrophic (5)	Fatality, permanent disability	More than \$1,000,000	Indeterminate prolonged interruption of services – non-performance > 1 month	Non-compliance results in litigation, criminal charges or significant damages or penalties	Substantiated, public embarrassment, very high multiple impacts, high widespread multiple news profile, third party actions	Extensive damage requiring prolonged period of restitution	Uncontained, irreversible impact	Exceeds deadline by 30% of project timeline	Exceeds project budget by 30%

Measures of Likelihood

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

Risk Matrix

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

Risk Acceptance Criteria

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

Existing Controls Ratings

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

