



ATTACHMENTS

Audit and Risk Committee

17 June 2025

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ATTACHMENT 5.1A
Minutes – Audit and Risk Committee Meeting
18 March 2025



MINUTES

Audit and Risk Committee
18 March 2025



NOTICE OF MEETING

Dear Committee Members and Members of the Public,

In accordance with the provisions of Section 5.5 of the Local Government Act, you are hereby notified that the Audit and Risk Committee has been convened for:

Date: Tuesday 18 March 2025
At: Shire Council Chambers
1 Longhurst Street, Narembeen
Commencing: 2.00pm

Rebecca McCall
Chief Executive Officer

10 March 2025

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1. Official Opening and Welcome

The Presiding Person welcomed everyone and declared the meeting open at 2.00pm.
Attendees were notified that the meeting was being recorded in accordance with the Local Government (Administration) Regulation r14J.

2. Record of Attendance / Apologies / Leave of Absence

Councillors:

Cr SW Stirrat	President
Cr HA Cusack	Deputy President
Cr CD Bray	
Cr AM Hardham	
Cr TW Cole	
Cr HJ Bald	
Cr MJ Currie	

Staff:

Ms R McCall	Chief Executive Officer
Mr B Forbes	Executive Manager Corporate Services
Ms K Conopo	Executive Governance Officer

Members of Public:

Apologies:

3. Disclosure of Interest

Nil

4. Public Question Time

Nil

5. Confirmation of Previous Meeting

5.1 Audit and Risk Committee Meeting 17 December 2024

Attachment 5.1A

Voting Requirements

☒ Simple Majority ☐ Absolute Majority

Officers Recommendation – Item 5.1

That the minutes of the Shire of Narembreen Audit and Risk Committee Meeting held on Tuesday 17 December 2024, as presented, be confirmed as a true and correct record of proceedings.

MIN 7956/25

MOTION - Moved Cr. Cole

Seconded Cr. Cusack

CARRIED 7 / 0

For: Cr Stirrat, Cr Cusack, Cr Bray, Cr Hardham. Cr Cole, Cr Bald, Cr Currie. Against: Nil

6. Officer Reports

6.1 2024 Compliance Audit Return

Date:	6 March 2025
Location:	Not applicable
Responsible Officer:	Ben Forbes, Executive Manager Corporate Services
Author:	Ben Forbes, Executive Manager Corporate Services
File Reference	Risk Management/ Audits/ CAR
Previous Meeting Reference	Nil
Disclosure of Interest:	Nil
Attachments:	6.1A 2024 Compliance Audit Return

Purpose of Report

☐ Executive Decision ☒ Legislative Requirement

Summary

For Council to adopt the completed Compliance Audit Return 2024.

Background

All local governments across the State are required by legislation to undertake a compliance audit for each calendar year.

This self-audit is referred to as the Compliance Audit Return, with the template each year being prepared by the Department of Local Government, Sport and Cultural Industries (the Department) covering the following business areas considered to be 'high risk'.

- Commercial Enterprises by Local Government
- Delegation of Power / Duty
- Disclosure of Interest
- Disposal of Property
- Elections
- Finance
- Integrate Planning and Reporting
- Local Government Employees
- Official Conduct
- Tendering for Providing Goods and Services

A completed Compliance Audit Return must be submitted to the Department by 31 March of the reporting year, having first been endorsed by Council and signed by the Shire President and Chief Executive Officer.

Comment

There were two instances of non-compliance found in the 2024 Compliance Audit Return.

1. One instance of a Primary Return not lodged within the correct timeframe
2. One instance of an Annual Return not lodged within the correct timeframe.

The audit consisted of 94 questions, with 92 found to be compliant, resulting in an overall compliance rating of 97.87%.

Processes have been put in place to identify relevant personnel during the recruitment and onboarding phase and effectively reduce the risk of non-compliance.

Consultation

Chief Executive Officer

Statutory Implications

Local Government Act 1995

Local Government (Audit) Regulations 1996

14. Compliance audits by local governments

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

[Regulation 14 inserted: Gazette 23 Apr 1999 p. 1724-5; amended: Gazette 30 Dec 2011 p. 5580-1.]

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

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

certified in relation to a compliance audit return means signed by —

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

[Regulation 15 inserted: Gazette 23 Apr 1999 p. 1725; amended: Gazette 26 Jun 2018 p. 2386.]

Policy Implications

Nil

Strategic Implications

Strategic Community Plan

Strategic Priority: 4. Civic Leadership
Objective: Well governed and efficiently managed Local Government
Strategy: 4.2 Compliant and resourced Local Government

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Risk Implications

Risk Profiling Theme	Failure to Fulfill Statutory, Regulatory or Compliance Requirements
Risk Category	Compliance
Consequence Description	No noticeable regulatory or statutory impact
Consequence Rating	Insignificant (1)
Likelihood Rating	Rare (1)
Risk Matrix Rating	Low (1)
Key Controls in Place	Governance Calendar, Financial Management Framework and Legislation
Action / Treatment	Nil
Risk Rating After Treatment	Adequate

Financial Implications

There are no financial implications of this resolution.

Voting Requirements

☒ Simple Majority ☐ Absolute Majority

Officers Recommendation – Item 6.1

That the Committee recommend that Council:

1. Endorse the 2024 Compliance Audit Return for signature by Shire President and Chief Executive Officer, and
2. Endorse the 2024 Compliance Audit Return for submission to the Department of Local Government, Sport and Cultural Industries, as attached.

MIN 7957/25**MOTION** - Moved Cr. Bray

Seconded Cr. Bald

CARRIED 7 / 0

For: Cr Stirrat, Cr Cusack, Cr Bray, Cr Hardham. Cr Cole, Cr Bald, Cr Currie. Against: Nil

6.2 Risk Dashboard – Quarterly Report – February 2025

Date:	10 March 2025
Location:	Not Applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Rebecca McCall, Chief Executive Officer
File Reference	ADM588
Previous Meeting Reference	Nil
Disclosure of Interest:	Nil
Attachments:	6.2A Risk Dashboard Quarterly Report – February 2025

Purpose of Report

- ☒ Executive Decision ☐ Legislative Requirement

Summary

This item presents the Risk Dashboard – quarterly monitoring report for February 2025 to the Audit and Risk Committee for consideration and receipt.

Background

The Risk Management Framework for the Shire of Narembeen sets out the approach to the identification, assessment, management, reporting and monitoring of risks. The objective is to ensure that all areas of the Shire adopt the outlined procedures to ensure:

- strong corporate governance;
- compliance with relevant legislation, regulations and internal policies;
- integrated Planning and Reporting requirements are met; and
- uncertainty and its effects on objectives are understood.

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

The Shire qualified its risk appetite through the development of the Risk Assessment and Acceptance Criteria.

There is a requirement to assess and manage the risk profile on an ongoing basis to monitor ongoing appetite and risk minimisation strategies.

Comment

The quarterly review of risk profiles assessed emerging risks, control effectiveness and key indicator performance. Assigned actions are reflective of current risks and control environment.

Key indicators revised or introduced include:

Risk Theme – Advice Inaccurate Advice / Information
Key Indicator – number of complaints registered (within service area) (tolerance introduced)
Key Indicator – number of complaints not responded to (within service area) (tolerance introduced)
Risk Theme - Inadequate Engagement Practices
Key Indicator – number of complaints registered (within service area) (tolerance introduced)
Key Indicator – number of complaints not responded to (within service area) (tolerance introduced)
Risk Theme – Inadequate Asset Sustainability Practices
Action – pool safety assessment (remediation actions completed)

The following risk themes are listed on the Risk Register as the overall control rating was ‘inadequate’:

- Inadequate Asset Sustainability Practices
- Ineffective Management of Facilities/Venues/Events

Consultation

Executive Manager Corporate Services

Statutory Implications

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

Policy Implications

Risk Management Framework

Strategic Implications

Strategic Community Plan

Strategic Priority: 4. Civic Leadership
 Objective: Well governed and efficiently managed Local Government
 Strategy: 4.2 Compliant and resourced Local Government

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Risk Implications

Risk Profiling Theme	Failure to Fulfill Statutory, Regulatory or Compliance Requirements
Risk Category	Compliance
Consequence Description	No noticeable regulatory or statutory impact
Consequence Rating	Insignificant (1)
Likelihood Rating	Rare (1)

Risk Matrix Rating	Low (1)
Key Controls in Place	Risk Management Framework
Action / Treatment	Nil
Risk Rating After Treatment	Adequate

Financial Implications

There are no financial implications to Council in relation to this item as the Risk Dashboard identifies and evaluates risk.

Voting Requirements

☒ Simple Majority ☐ Absolute Majority

Officers Recommendation – Item 6.2

That Audit and Risk Committee receives the Risk Dashboard Quarterly Report – February 2025 as presented in Attachment 6.2A.

MIN 7958/25

MOTION - Moved Cr. Currie

Seconded Cr. Hardham

CARRIED 7 / 0

For: Cr Stirrat, Cr Cusack, Cr Bray, Cr Hardham. Cr Cole, Cr Bald, Cr Currie. Against: Nil

7. Other Business

The Audit entrance meeting has been rescheduled to 27 March 2025.

8. Closure of Meeting

Details of the next meeting will be advised.

There being no further business, the chair declared the meeting closed at 2.07pm

ATTACHMENT 6.1A
Risk Dashboard Quarterly Report - May 2025

Shire of Narembeen
Risk Dashboard Report - May 2025

<u>Misconduct</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Review Code of Conduct(s)	Apr-27	EMCS	
ICT Plan - Perform Annual Review	Aug-25	EMCS	
Conduct Annual Review of Delegation Framework	May-26	CEO	
Conduct FMR Review & Regulation 17	Mar-27	CEO / EMCS	
Documenting Human Resource Management Framework	Dec-25	CEO / EMCS	

<u>Business & Community Disruption</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Business Continuity Plan - Conduct Annual Review	Jun-25	EMCS	
ICT Plan - Conduct Annual Desktop Review	Aug-25	EMCS	
Develop Fire Response Plan	Jun-26	CEO	
Emergency Management & Training - Conduct Review	Dec-25	CEO	

<u>Inadequate Environmental Management</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Identify Strategy to Remove Illegal Dumped Material (near workers camp)	Dec-25	EHO	
Review Diesel Storage System (to ensure compliance)	Jun-25	EMIS	
#REF!	Ongoing	CEO / EMIS	
Implement Townsite Drainage and Water Harvesting Plan	Ongoing	CEO / EMIS	

<u>Errors, Omissions & Delays</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Conduct Staff Inductions	As Required	Senior Management	
Develop Annual Training Plan 2025/2025	Jun-25	Senior Management	
Document Procedures and Checklists	Jun-25	Senior Management	
Conduct Annual Performance Reviews	Apr-26	Senior Management	

<u>External Theft & Fraud (inc. Cyber Crime)</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Conduct Key Audit (staff access)	Dec-25	EMCS	
Documenting Cash Handling Processes	Jun-25	EMCS	

<u>Failure of IT &/or Communication Systems and Infrastructure</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
ICT Plan - Conduct Annual Desktop Review	Aug-25	EMCS	
Review ICT Replacement Program	Jan-25	EMCS	
Develop Fire Response Plan	Jun-26	CEO	
Investigate Replacement of Telephone System	Jun-25	EMCS	

<u>Failure to Fulfil Statutory, Regulatory or Compliance Requirements</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Conduct Financial Management Review	Mar-27	EMCS	
Conduct CEO Regulation 17 Review	Mar-27	EMCS	
#REF!	#REF!	#REF!	
Document Governance Framework	Dec-25	CEO	
Review Information Management Framework	Jun-25	EMCS	

<u>Inadequate Safety and Security Practices</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Conduct Security Access for Shire Buildings Audit	Jun-26	EMIS	
Conduct WHS Framework Review	Dec-25	CEO	
Documenting Human Resource Management Framework	Dec-25	CEO / EMCS	

Shire of Narembeen
Risk Dashboard Report - May 2025

<u>Providing Inaccurate Advice / Information</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Develop 2025-2026 Staff Training Plan	Jun-25	Senior Management	
Review Complaints Handling Process	Dec-25	CEO	
Review Complaints Register	Dec-25	CEO	
Develop Communication and Engagement Plan (Internal)	Dec-25	CEO	

<u>Inadequate Document Management Processes</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Review Information Management Framework	Jun-25	EMCS	
Record Keeping Plan Reviewed	Jun-25	EMCS	
Document Governance Framework	Dec-25	CEO	

<u>Inadequate Engagement Practices</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Conduct Community Satisfaction Survey	July-Aug 26	CEO	
Review Complaints Handling Process	Dec-25	CEO	
Review Complaints Register	Dec-25	CEO	
Develop Communication and Engagement Plan (Internal)	Dec-25	CEO	

<u>Inadequate Asset Sustainability Practices</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Asset Management Plan - Annual Desktop Review	Oct-25	EMCS	
Develop 2025/26 Building Maintenance Program	Jun-25	EMIS	
Develop Building Maintenance Program (10 Year)	Dec-25	EMIS	
Develop 2025/26 Construction and Road Maintenance Program	Jun-25	EMIS	
Review Fleet and Plant Replacement Program (10 Year)	Apr-26	EMIS	
Review Stock Control System	Mar-25	EMCS	
Develop Reserve Management Plan	Dec-25	EMIS	

<u>Ineffective Employment Practices</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Update Training Register	Jun-25	CEO	
Develop 2025-2026 Staff Training Plan	Jun-25	Senior Management	
Documenting Human Resource Management	Dec-25	CEO / EMCS	
2026 Performance Reviews Conducted	Apr-26	Senior Management	
Staff Inductions and Refreshers Conducted	Jun-25	Senior Management	
Workforce Plan - Conduct Desktop Review	Dec-25	CEO	

<u>Inadequate Project / Change Management</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Document Project Management Methodology and Framework	Dec-25	Senior Management	
Communication and Engagement Framework - Conduct Review	Aug-26	CEO	
Document procedure manuals for positions together with relevant controls	Jun-25	EMCS	

<u>Inadequate Supplier / Contract Management</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Develop Standardised Contracts	Jun-25	CEO/EMCS	
Financial Controls Documented	Mar-25	EMCS	
Develop Centralised Contract Management System	Dec-25	CEO	

<u>Ineffective Management of Facilities / Venues / Events</u>		Risk	Control
		Moderate	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Document Event Management Framework	Nov-25	EMCS	
Document Facilities Booking Framework	Jun-25	EMCS	
Asset Management Plan - Conduct Desktop Review	Oct-25	EMCS	
Develop 2025/26 Building Maintenance Program	Jun-25	EMIS	
Develop Reserve Management Plan	Dec-25	EMIS	
Pool Safety Assessment - Remediation Actions Completed	Completed	EMCS	

Business & Community Disruption			May-25
Risk Context			
Failure to adequately prepare and respond to events that cause disruption to the local community and / or normal Shire business activities. The event may result in damage to buildings, property, plant & equipment (all assets). This could be a natural disaster, weather event, or an act carried out by an external party (inc. vandalism). This includes; · Lack of (or inadequate) emergency response / business continuity plans. · Lack of training to specific individuals or availability of appropriate emergency response. · Failure in command and control functions as a result of incorrect initial assessment or untimely awareness of incident. · Inadequacies in environmental awareness and monitoring of fuel loads, curing rates etc This does not include disruptions due to IT Systems or infrastructure related failures - refer "Failure of IT & communication systems and infrastructure".			
Potential Causes			
Cyclone / Storm Surge / Fire / Earthquake	Extended Communication &/or Power Outage		
Terrorism / Sabotage / Criminal Behaviour	Economic Factors		
Epidemic / Pandemic	Loss of Key Staff		
Key Controls	Type	Date	Rating
Business Continuity Response Plan	Preventative	Jun-22	Adequate
Emergency Management & Training	Preventative	Unknown	Adequate
LEM Exercises	Detective	Jun-22	Adequate
LEMA & Recovery Plans	Recovery	Nov-24	Adequate
ICT Disaster Recovery Plan 2024	Preventative	Aug-24	Adequate
Asset Management Plan	Preventative	Aug-24	Adequate
Long Term Financial Plan	Preventative	Jun-24	Adequate
Overall Control Rating			Adequate
		Risk Ratings	Rating
		<i>Consequence:</i>	Catastrophic
		<i>Likelihood:</i>	Rare
		Overall Risk Rating	Moderate
Key Indicators	Tolerance	Latest Result	Comment
BCP Training Exercises Undertaken	1 per annum	1	Desktop exercise in April 2025
LEMC Training Exercises Undertaken	1 per annum	1	Desktop exercise in March 2025
LEMC Meetings Convened	4 per annum	4	4 meetings convened for EY2025
ICT Health Checks Performed	Monthly	12	Routine checks performed
Business Continuity Plan Reviewed	Annually	Not Rated	Review underway
Comments			
Actions / Current Issues / Treatments		Due Date	Responsible Manager
Business Continuity Plan - Conduct Annual Review		Jun-25	EMCS
ICT Plan - Conduct Annual Desktop Review		Aug-25	EMCS
Develop Fire Response Plan		Jun-26	CEO
Emergency Management & Training - Conduct Review		Dec-25	CEO

Failure of IT &/or Communication Systems and Infrastructure

May-25

Risk Context

Instability, degradation of performance, or other failure of IT Systems, Infrastructure, Communication or Utility causing the inability to continue business activities and provide services to the community. This may or may not result in IT Disaster Recovery Plans being invoked. Examples include failures or disruptions caused by:

- Hardware &/or Software
- IT Network
- Failures of IT Vendors

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

- Configuration management
- Performance Monitoring
- IT Incident, Problem Management & Disaster Recovery Processes

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

Potential Causes

Weather Impacts	Communications & Power Failure
Power outage at service provider	Infrastructure breakdown such as landlines, radio communications.
Out dated / inefficient hardware	Lack of training
Incompatibility between operating system and Microsoft	Software vulnerability (eg. MS Access)

Key Controls	Type	Date	Rating
Data Back-Up Systems	Recovery	Daily	Adequate
UPS	Preventative / Recovery	Unknown	Inadequate
ICT Management Service Agreement	Preventative	Mar-23	Adequate
ICT Disaster Recovery Plan 2024	Preventative	Aug-24	Adequate
ICT Replacement Program	Preventative	Dec-23	Adequate

Overall Control Rating	Adequate
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Risk Ratings	Rating
<i>Consequence:</i>	Moderate
<i>Likelihood:</i>	Possible

Overall Risk Rating	Moderate
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Key Indicators	Tolerance	Latest Result	Comment
ICT Health Checks Performed	Monthly	12	Routine checks performed
ICT Disaster Recovery Test Performed	Annually	Not Rated	Backups tested in real time
Number of Cyber Breaches	Nil	Nil	No breaches

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
ICT Plan - Conduct Annual Desktop Review	Aug-25	EMCS
Review ICT Replacement Program	Jan-25	EMCS
Develop Fire Response Plan	Jun-26	CEO
Investigate Replacement of Telephone System	Jun-25	EMCS

External Theft & Fraud (inc. Cyber Crime)

May-25

Risk Context
Loss of funds, assets, data or unauthorised access, (whether attempts 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 (no deceit) Examples include: • Scam Invoices • Cash or other valuables from 'Outstations

Potential Causes	
Inadequate security of equipment / supplies / cash	Inadequate provision for patrons belongings
Robbery	Lack of Supervision
Scam Invoices	

Key Controls	Type	Date	Rating
Security Access for Shire Buildings	Preventative	Nov-18	Adequate
ICT Disaster Recovery Plan 2024	Preventative	Aug-24	Adequate
Financial Management Framework	Preventative	Dec-23	Adequate

Overall Control Rating	Adequate
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Risk Ratings	Rating
<i>Consequence:</i>	Moderate
<i>Likelihood:</i>	Unlikely
Overall Risk Rating	Moderate

Key Indicators	Tolerance	Latest Result	Comment
Number of Thefts or Fraud	Nil	Nil	No theft or fraud
Detected Non Compliant Procurement Processes	< 5	Nil	None
Cash Handling Processes	Documented	Not Rated	Documented
Bank Reconciliations	No detected variances	Nil	No variances or outstanding items.

Comments		
Actions / Current Issues / Treatments	Due Date	Responsible Manager
Conduct Key Audit (staff access)	Dec-25	EMCS
Documenting Cash Handling Processes	Jun-25	EMCS

Inadequate Safety and Security Practices

May-25

Risk Context

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

- Inadequate Policy, Frameworks, Systems and Structure to prevent the injury of visitors, staff, contractors and/or tenants.
- Inadequate Organisational Emergency Management requirements (evacuation diagrams, drills, wardens etc).
- Inadequate security protection measures in place for buildings, depots and other places of work (vehicle, community etc).
- Public Liability Claims, due to negligence or personal injury.
- Employee Liability Claims due to negligence or personal injury.
- Inadequate or unsafe modifications to plant & equipment

Potential Causes

Lack of appropriate PPE / Equipment	Inadequate signage, barriers or other exclusion techniques
Inadequate first aid supplies or trained staff	Storage and use of Dangerous Goods
Rubbish / Litter Control	Ineffective / inadequate testing, sampling (similar) health based req'
Inadequate security arrangements	Lack of mandate and commitment from Senior Management

Key Controls	Type	Date	Rating
Security Access for Shire Buildings	Preventative	Unknown	Adequate
WHS Management Framework	Preventative	Unknown	Adequate
Human Resource Management Framework	Preventative	Documenting	Adequate

Overall Control Rating	Adequate
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Risk Ratings	Rating
Consequence:	Major
Likelihood:	Unlikely

Overall Risk Rating	Moderate
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Key Indicators	Tolerance	Latest Result	Comment
Lost Time Injuries Per Quarter	Nil	Nil	Non this reporting period
Near Misses Per Quarter	Nil	Nil	Non this reporting period
Workers Compensation Claims	Nil	Nil	2 current claims
Security Access for Shire Buildings Audit	Completed	Not Rated	To commence July 25
WHS Policy Reviewed & Signed Annually	Completed	Nov-24	Next due Nov 2025
Conduct WHS Framework Review	Completed	Not Rated	Progressing

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Conduct Security Access for Shire Buildings Audit	Jun-26	EMIS
Conduct WHS Framework Review	Dec-25	CEO
Documenting Human Resource Management Framework	Dec-25	CEO / EMCS

Misconduct

May-25

Risk Context

Intentional activities in excess of authority granted to an employee, which circumvent endorsed policies, procedures or delegated authority. This would include instances of:

- Relevant authorisations not obtained.
- Distributing confidential information.
- Accessing systems and / or applications without correct authority to do so.
- Misrepresenting data in reports.
- Theft by an employee
- Collusion between Internal & External parties

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

Potential Causes

Lack of Induction and Training	Lack of Clarity of Role
Changing of Job Titles and Responsibilities	Poor Internal Controls and Systems
Delegated Authority Process Inadequately Implemented	Password Sharing
Covering Up Poor Work Performance and/nor Non-Compliance	Beaching of Code of Conduct
Disgruntled Employees	Poor Enforcement of Policies and Procedures

Key Controls	Type	Date	Rating
Delegation Framework	Detective	Sep-24	Adequate
ICT Disaster Recovery Plan 2024	Preventative	Aug-24	Adequate
Employee Code of Conduct	Preventative	Apr-24	Adequate
Elected Member Code of Conduct	Preventative	Apr-24	Adequate
Financial Management Framework	Preventative	Documenting	Adequate
Human Resource Management Framework	Preventative	Documenting	Adequate
External Audit	Detective	Oct-24	Effective
Regulatory Declarations	Detective	Ongoing	Effective

Overall Control Rating

Adequate

Risk Ratings

Rating

Consequence:

Major

Likelihood:

Unlikely

Overall Risk Rating

Moderate

Key Indicators	Tolerance	Latest Result	Comment
External Audit Findings (Misconduct Related)	Nil	Nil	None
Detected Non Compliant Procurement Processes	< 5	Nil	None
Breaches of Code of Conduct	Nil	Nil	None
Proven Internal & External Complaints (Major or Minor)	Nil	Nil	None

Comments

Codes of conduct to be reviewed every 3 years.

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Review Code of Conduct(s)	Apr-27	EMCS
ICT Plan - Perform Annual Review	Aug-25	EMCS
Conduct Annual Review of Delegation Framework	May-26	CEO
Conduct FMR Review & Regulation 17	Mar-27	CEO / EMCS
Documenting Human Resource Management Framework	Dec-25	CEO / EMCS

Inadequate Project / Change Management

May-25

Risk Context

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

- Inadequate Change Management Framework to manage and monitor change activities.
- Inadequate understanding of the impact of project change on the business.
- Failures in the transition of projects into standard operations.
- Failure to implement new systems
- Failures of IT Project Vendors/Contractors

This includes Directorate or Service Unit driven change initiatives except new Plant & Equipment purchases. Refer "Inadequate Asset Sustainability Practices"

Potential Causes

Lack of communication and consultation	Shire growth (too many 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

Key Controls	Type	Date	Rating
Project Management Methodology and Framework	Preventative	Not Documented	Adequate
Communication and Engagement Framework	Preventative	Not Documented	Adequate
Risk Management Framework	Detective	Sep-24	Adequate
Financial Management Framework	Preventative	Documenting	Adequate

Overall Control Rating	Adequate
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Risk Ratings	Rating
Consequence:	Moderate
Likelihood:	Possible
Overall Risk Rating	Moderate

Key Indicators	Tolerance	Latest Result	Comment
Undocumented project variations	Nil	Nil	Nil for quarter
Failure to achieve Project Milestones	Nil	Nil	Nil for quarter
Project management framework to be documented	To be completed	Nil	Deferred to Dec 25
Documenting procedure manuals for positions together with relevant controls	To be completed	Nil	Near completed

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Document Project Management Methodology and Framework	Dec-25	Senior Management
Communication and Engagement Framework - Conduct Review	Aug-26	CEO
Document procedure manuals for positions together with relevant controls	Jun-25	EMCS

Errors, Omissions & Delays

May-25

Risk Context

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

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

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

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

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

Potential Causes

Human Error	Incorrect information
Inadequate procedures or training	Miscommunication
Lack of Staff (or trained staff)	

Key Controls	Type	Date	Rating
Documented Procedures and Checklists	Preventative	Documenting	Adequate
Complaints Handling Register	Preventative	Reviewing	Adequate
Complaints Process	Recovery	Reviewing	Adequate
Customer Service Charter	Preventative	Aug-24	Adequate
Segregation of Duties (Financial Control)	Preventative	Documenting	Adequate
Staff Inductions	Preventative	Feb-24	Adequate
Staff Training Plan	Preventative	Documenting	Not Rated
Performance Management	Preventative	Feb-24	Adequate
Qualified Building, Health and Planning Officers	Preventative	Feb-24	Adequate

Overall Control Rating	Adequate
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Risk Ratings	Rating
Consequence:	Moderate
Likelihood:	Possible

Overall Risk Rating	Moderate
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Key Indicators	Tolerance	Date	Result
Staff Inducted	100%	May-25	New staff inducted
2024-2025 Staff Training Plan Implemented	100%	Jun-25	Near completed
Annual Performance Reviews Conducted	100%	Apr-25	2025 reviews completed
Customer Service Charter	Adopted	Jun-24	Adopted Aug-24

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Conduct Staff Inductions	As Required	Senior Management
Develop Annual Training Plan 2025/2025	Jun-25	Senior Management
Document Procedures and Checklists	Jun-25	Senior Management
Conduct Annual Performance Reviews	Apr-26	Senior Management

Inadequate Document Management Processes

May-25

Risk Context

Failure to adequately capture, store, archive, retrieve, provision and / or disposal of documentation. This includes:

- Contact lists.
- Procedural documents.
- 'Application' proposals/documents.
- Contracts.
- Forms, requests or other documents.

Potential Causes

Spreadsheet/Database/Document corruption or loss	Outdated record keeping practices / incompatible systems
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	Incomplete authorisation trails

Key Controls	Type	Date	Rating
Information Management Framework		Reviewing	Adequate
Record Keeping Plan (2018)		Reviewing	Not Rated
Governance Framework		Documenting	Adequate

Overall Control Rating	Adequate
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Risk Ratings	Rating
Consequence:	Moderate
Likelihood:	Possible

Overall Risk Rating	Moderate
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Key Indicators	Tolerance	Date	Result
Information Management Framework	Reviewed	Jun-25	Review progressing
Record Keeping Plan	Lodged	Jun-25	Formal plan is in draft with external consultation - revised statutory plan and framework near completion.

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Review Information Management Framework	Jun-25	EMCS
Record Keeping Plan Reviewed	Jun-25	EMCS
Document Governance Framework	Dec-25	CEO

Inadequate Supplier / Contract Management

May-25

Risk Context

This Risk Theme is defined as:

Inadequate management of External Suppliers, Contractors, IT Vendors or Consultants engaged for core operations. This includes issues that arise from the ongoing supply of services or failures in contract management & monitoring processes. This also includes:

- Concentration issues
- Vendor sustainability

Potential Causes

Funding	Inadequate contract management practices
Complexity and quantity of work	Ineffective monitoring of deliverables
Inadequate tendering process	Lack of planning and clarity of requirements
Geographical remoteness	Historical contracts remaining

Key Controls	Type	Date	Rating
Budget Review	Preventative	Feb-25	Adequate
Financial Management Framework	Preventative	Progressing	Adequate
Access to Independent Advice (Legal / WALGA) & Peer Review	Preventative	Ongoing	Adequate

Overall Control Rating	Adequate
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Risk Ratings	Rating
Consequence:	Moderate
Likelihood:	Possible

Overall Risk Rating	Moderate
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Draft Key Indicators	Tolerance	Date	Result
Contract management framework and control procedures documented and implemented	100%	Dec-25	Commenced
Detected Non Compliant Tender Processes	Nil	May-25	None
Employment contracts reviewed within 6 months of expiry	100%	Ongoing	Nil
Supplier contracts reviewed prior to expiry	100%	Ongoing	No non-compliance

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Develop Standardised Contracts	Jun-25	CEO/EMCS
Financial Controls Documented	Mar-25	EMCS
Develop Centralised Contract Management System	Dec-25	CEO

Providing Inaccurate Advice / Information

May-25

Risk Context

Incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff. This could be caused by using unqualified, or inexperienced staff, however it does not include instances relating to Misconduct.

Examples include;

- incorrect planning, development or building advice,
- incorrect health or environmental advice
- inconsistent messages or responses from Customer Service Staff
- any advice that is not consistent with legislative requirements or local laws.

Potential Causes

Lack of qualified staff	Lack of appropriate technical knowledge relevant to the context
Long lead times for responses	Poor working relationships between internal staff/departments
Increasing workloads	

Key Controls	Type	Date	Rating
Staff Training Plan	Preventative	Ongoing	Adequate
Peer Review Process - Building / Health / Planning Advice	Preventative	Ongoing	Adequate
Complaints Handling Process	Preventative	Unknown	Adequate
Complaints Register	Detective	Unknown	Adequate
Customer Service Charter	Preventative	Aug-25	Adequate
Communication and Engagement Plan	Preventative	Aug-25	Adequate
Overall Control Rating			Adequate

Risk Ratings	Rating
Consequence:	Minor
Likelihood:	Possible
Overall Risk Rating	Moderate

Key Indicators	Tolerance	Date	Result
2024-2025 Staff Training Plan Implemented	100%	Jun-25	Implementing
Number of Complaints Registered (within service area)	<5		KI yet to be rated
Number of Complaints not Responded to (within a service area)	<5 days		KI yet to be rated

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Develop 2025-2026 Staff Training Plan	Jun-25	Senior Management
Review Complaints Handling Process	Dec-25	CEO
Review Complaints Register	Dec-25	CEO
Develop Communication and Engagement Plan (Internal)	Dec-25	CEO

Ineffective Employment Practices

May-25

Risk Context

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

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

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

Potential Causes

Leadership failures	Ineffective performance management programs or procedures.
Available staff / volunteers are generally highly transient.	Ineffective training programs or procedures.
Single Person Dependencies	Limited staff availability - mining / private sectors (pay & conditions).
Poor internal communications / relationships	Inadequate Induction practices.

Key Controls	Type	Date	Rating
Human Resource Management Framework	Preventative	Documenting	Adequate
Staff Training Plan and Register	Preventative	Reviewing	Adequate
Workforce Plan (Succession Planning Component)	Preventative	Aug-24	Adequate
Staff Inductions (Code of Conduct Component)	Preventative	May-24	Adequate
Performance Review Process	Detective	Jan-25	Adequate

Overall Control Rating	Adequate
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Risk Ratings	Rating
Consequence:	Moderate
Likelihood:	Possible

Overall Risk Rating	Moderate
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Key Indicators	Tolerance	Date	Result
Training Register Current	100%	Jun-25	Progressing
2024-2025 Staff Training Plan Implemented	100%	Jun-25	Implementing
2025 Performance Reviews Conducted	100%	Apr-25	Conducted
Staff Inductions and Refreshers Conducted	100%		Progressing
Procedure Manuals and Legacy Planning	To be completed	Jun-25	Progressing

Comments

Actions / Current Issues / Treatments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Update Training Register	Jun-25	CEO
Develop 2025-2026 Staff Training Plan	Jun-25	Senior Management
Documenting Human Resource Management Framework	Dec-25	CEO / EMCS
2026 Performance Reviews Conducted	Apr-26	Senior Management
Staff Inductions and Refreshers Conducted	Jun-25	Senior Management
Workforce Plan - Conduct Desktop Review	Dec-25	CEO

Failure to Fulfil Statutory, Regulatory or Compliance Requirements

May-25

Risk Context
Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This could result in fines, penalties, litigation or increase scrutiny from regulators or agencies. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated legal documentation (internal & public domain) to reflect changes. This does not include Occupational Safety & Health Act (refer "Inadequate safety and security practices") or any Employment Practices based legislation (refer "Ineffective Employment practices") It does include the Local Government Act, Health Act, Building Act, Privacy Act and all other legislative based obligations for Local Government.

Potential Causes	
Lack of training, awareness and knowledge	Lack of Legal Expertise
Staff Turnover	Councillor Turnover
Inadequate record keeping	Breakdowns in Tender process
Ineffective processes	Ineffective monitoring of changes to legislation

Key Controls	Type	Date	Rating
Governance Framework	Preventative	Documenting	Adequate
Information Management Framework	Preventative	Documenting	Adequate
Human Resource Management Framework	Preventative	Documenting	Adequate
Access to Legislation and Regulations	Preventative	Ongoing	Effective
Access to Independent Advice (DLGSC / Legal / WALGA)	Preventative	Ongoing	Effective

Overall Control Rating	Adequate
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Risk Ratings	Rating
Consequence:	Major
Likelihood:	Unlikely

Overall Risk Rating	Moderate
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Key Indicators	Tolerance	Date	Result
Compliance Annual Return (CAR)	As Per Legislation	Mar-25	Submitted March 2025
Financial Management Review (Every 3 Years)	As Per Legislation	Apr-24	Completed March 2024
CEO Regulation 17 Review (Every 3 Years)	As Per Legislation	Apr-24	Completed March 2024
Financial and Performance Audit Qualification (Annual)	Unqualified Audit	Dec-24	Unqualified
Financial and Performance Audit - Actioned Findings	4 Months	Mar-25	Completed

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Conduct Financial Management Review	Mar-27	EMCS
Conduct CEO Regulation 17 Review	Mar-27	EMCS
Document Governance Framework	Dec-25	CEO
Review Information Management Framework	Jun-25	EMCS
Documenting Human Resource Management Framework	Dec-25	CEO

Inadequate Asset Sustainability Practices

May-25

Risk Context

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

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

Potential Causes

Skill level & behaviour of operators	Unavailability of parts
Lack of trained staff	Lack of formal or appropriate scheduling (maintenance / inspections)
Outdated equipment	Unexpected breakdowns

Key Controls	Type	Date	Rating
Asset Management System	Preventative		Inadequate
Asset Management Plan	Preventative	Aug-24	Adequate
Building Maintenance Program (Annual)	Preventative	Documenting	Inadequate
Road Construction and Maintenance Program (Annual)	Preventative	Jun-24	Adequate
Fleet and Plant Replacement Program (10 Year)	Preventative	Jun-24	Adequate
Road Asset Management System (RAMMS)	Preventative	Jun-24	Adequate
Stock Control Systems (Fuel and Materials)	Preventative		Not Rated

Overall Control Rating	Inadequate
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Risk Ratings	Rating
Consequence:	Moderate
Likelihood:	Possible

Overall Risk Rating	Moderate
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Key Indicators	Tolerance	Date	Result
Asset Management Plan Reviewed	Annually	Oct-24	Adopted
Annual Road Program Uploaded (ThinkProject)	Annually	Jul-25	
Long Term Financial Plan Reviewed	Annually	Apr-25	Annual review conducted
Plant rendered unusable due to preventable circumstances	Nil	Ongoing	None

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Asset Management Plan - Annual Desktop Review	Oct-25	EMCS
Develop 2025/26 Building Maintenance Program	Jun-25	EMIS
Develop Building Maintenance Program (10 Year)	Dec-25	EMIS
Develop 2025/26 Construction and Road Maintenance Program	Jun-25	EMIS
Review Fleet and Plant Replacement Program (10 Year)	Apr-26	EMIS
Review Stock Control System	Mar-25	EMCS
Develop Reserve Management Plan	Dec-25	EMIS

Inadequate Engagement Practices

May-25

Risk Context

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

- Following up on any access & inclusion issues.
- Infrastructure Projects.
- Regional or District Committee attendance.
- Local Planning initiatives.
- Strategic Planning initiatives

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

Potential Causes

Budget / funding issues	Short lead times
Media attention	Miscommunication / Poor communication
Inadequate documentation or procedures	Relationship breakdowns with community groups

Key Controls	Type	Date	Rating
Communication and Engagement Framework	Preventative	Aug-24	Adequate
Complaint Handling Process	Preventative	Reviewing	Adequate
Complaints Register	Detective	Reviewing	Adequate
Customer Service Charter	Preventative	Aug-24	Adequate
Community Satisfaction Survey	Detective	Aug-24	Adequate

Overall Control Rating	Adequate
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Risk Ratings	Rating
Consequence:	Moderate
Likelihood:	Unlikely

Overall Risk Rating	Moderate
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Key Indicators	Tolerance	Date	Result
Number of Complaints Registered (within service area)	<5		KI yet to be rated
Number of Complaints not Responded to (within a service area)	<5 days		KI yet to be rated

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Conduct Community Satisfaction Survey	July-Aug 26	CEO
Review Complaints Handling Process	Dec-25	CEO
Review Complaints Register	Dec-25	CEO
Develop Communication and Engagement Plan (Internal)	Dec-25	CEO

Ineffective Management of Facilities / Venues / Events

May-25

Risk Context

This Risk Theme is defined as:

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

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

Potential Causes

Double bookings	Animal contamination.
Illegal alcohol consumption	Failed chemical / health requirements.
Managing bond payments	Access to facilities / venues.

Key Controls	Type	Date	Rating
Event Management Framework	Preventative	Not Documented	Inadequate
Facilities Booking Framework	Preventative	Unknown	Adequate
Asset Management Plan	Detective	1/08/2024	Adequate
Building Maintenance Program (Annual)	Preventative	Documenting	Inadequate
Statutory Public Building Compliance Requirements	Preventative	Ongoing	Adequate

Overall Control Rating	Inadequate
------------------------	------------

Risk Ratings	Rating
Consequence:	Moderate
Likelihood:	Possible
Overall Risk Rating	Moderate

Draft Key Indicators	Tolerance	Date	Result
Equipment Tested and Tagged	As Per Legislation		Not Rated
Public Building Inspections Conducted	As Per Legislation		Not Rated
Event Management Framework	Documented	Nov-25	Not Rated

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Document Event Management Framework	Nov-25	EMCS
Document Facilities Booking Framework	Jun-25	EMCS
Asset Management Plan - Conduct Desktop Review	Oct-25	EMCS
Develop 2025/26 Building Maintenance Program	Jun-25	EMIS
Pool Safety Assessment - Remediation Actions Completed	Completed	EMCS
Develop Reserve Management Plan	Dec-25	EMIS

Inadequate Environmental Management

May-25

Risk Context

Inadequate prevention, identification, enforcement and management of environmental issues. The scope includes;

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

Potential Causes

Inadequate management of landfill sites	Inadequate reporting / oversight frameworks
Lack of understanding / knowledge	Community apathy
Inadequate local laws / planning schemes	

Key Controls	Type	Date	Rating
Transfer Station Operational Management	Detective		Adequate
Bendering Waste Facility Operational Plan (In Draft)	Preventative		Adequate
Bendering Waste Facility Management Plan	Preventative		Adequate
Support Environmental Groups and Program	Preventative		Adequate
Re-Use Waste Water Management Plan	Preventative		Not Rated
Re-Use Waste Water Monitoring	Detective		Adequate
Swimming Pool Water Monitoring	Detective		Adequate
Asbestos Register	Detective	Jul-25	Adequate

Overall Control Rating	Adequate
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Risk Ratings	Rating
Consequence:	Moderate
Likelihood:	Unlikely
Overall Risk Rating	Moderate

Key Indicators	Tolerance	Date	Result
Annual Waste and Recycling Data Report Submitted	As Per Legislation	Sep-25	
Re-Use Waste Water Monitored	As Per Legislation		Compliant
Asbestos Register Maintained	Annually	Ongoing	Maintained

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Identify Strategy to Remove Illegal Dumped Material (near workers camp)	Dec-25	EHO
Review Diesel Storage System (to ensure compliance)	Jun-25	EMIS
Implement Townsite Drainage and Water Harvesting Plan	Ongoing	CEO / EMIS

Risk Register - Updated May 2025

Theme	Overall Control Rating	Consequence	Likelihood	Overall Risk Rating
Asset Sustainability	Indequate	Moderate	Possible	Moderate
Effective Management of Facilities & Venue	Indequate	Moderate	Possible	Moderate

Measure of Consequence							
Rating (Level)	Health	Financial Impact	Service Interruption	Compliance	Reputational	Property	Environment
Insignificant 1	Negligible injuries	Less than \$1,000	No material service interruption	No noticeable regulatory or statutory impact	Unsubstantiated, low impact, low profile or 'no news' item	Inconsequential or no damage.	Contained, reversible impact managed by on site response
Minor 2	First aid injuries	\$1,001 - \$10,000	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
Moderate 3	Medical type injuries <5	\$10,001 - \$50,000	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
Major 4	Lost time injury >5	\$50,001 - \$500,000	Prolonged interruption of services – additional resources; performance affected < 1 month	Non-compliance results in termination of services 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
Catastrophic 5	Fatality, permanent disability	More than \$500,000	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 Complete loss of plant, equipment & building	Uncontained, irreversible impact

Measures of Likelihood

Rating	Description	Frequency	Probability
Almost Certain	The event is expected to occur in most circumstances	More than once per year	> 90% chance of occurring
Likely	The event will probably occur in most circumstances	At least once per year	60% - 90% chance of occurring
Possible	The event should occur at some time	At least once in 3 years	40% - 60% chance of occurring
Unlikely	The event could occur at some time	At least once in 10 years	10% - 40% chance of occurring
Rare	The event may only occur in exceptional circumstances	Less than once in 15 years	< 10% chance of occurring

Measures of Likelihood			
Rating	Description	Frequency	Probability
Almost Certain	The event is expected to occur in most circumstances	More than once per year	> 90% chance of occurring
Likely	The event will probably occur in most circumstances	At least once per year	60% - 90% chance of occurring
Possible	The event should occur at some time	At least once in 3 years	40% - 60% chance of occurring
Unlikely	The event could occur at some time	At least once in 10 years	10% - 40% chance of occurring
Rare	The event may only occur in exceptional circumstances	Less than once in 15 years	< 10% chance of occurring

Risk Matrix					
Consequence Likelihood	Insignificant	Minor	Moderate	Major	Catastrophic
Almost Certain	Moderate	High	High	Extreme	Extreme
Likely	Low	Moderate	High	High	Extreme
Possible	Low	Moderate	Moderate	High	High
Unlikely	Low	Low	Moderate	Moderate	High
Rare	Low	Low	Low	Low	Moderate

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

Existing Controls Ratings		
Rating	Foreseeable	Description
Effective	There is <u>little</u> scope for improvement.	1. Processes (Controls) operating as intended and aligned to Policies / Procedures. 2. Subject to ongoing monitoring. 3. Reviewed and tested regularly.
Adequate	There is <u>some</u> scope for improvement.	1. Processes (Controls) generally operating as intended, however inadequacies exist. 2. Nil or limited monitoring. 3. Reviewed and tested, but not regularly.
Inadequate	There is a <u>need</u> for improvement or action.	1. Processes (Controls) not operating as intended. 2. Processes (Controls) do not exist, or are not being complied with. 3. Have not been reviewed or tested for some time.

ATTACHMENT 6.2A
Shire of Narembeen – Business Continuity
Plan 2025

Incident Management Business Continuity Response Plan



Important

This document is a collection of checklists developed and maintained in readiness for use during an incident, particularly if the incident results in a disruption to business-as-usual activities.

The term 'Incident' can also be used to indicate a 'Disruption', 'Crisis', 'Disaster' or 'Emergency'.

This plan's main purpose is to offer guidance in restoring the Shire to an acceptable level of operation and ensure continuity of time-critical business activities following disruption.

Plan Activation Decision

Will the incident:	Yes	No
Result in an unsafe workplace or negatively affect our community?		
Disrupt critical activities for more than one day or affect multiple sites?		
Cause property or environmental damage?		
If YES to any of the above, this plan is to be activated.		

During a disruptive incident, the Shire will seek to:

- 1. Before all else, establish the safety and wellbeing of staff, visitors and the community.**
2. Provide assurance to the community that the Shire's operations and service to residents remain strong and viable.
3. Provide regular, concise and meaningful communications internally and externally.
4. Work together as a team demonstrating the Shire's principles and values to swiftly return operations to normality.
5. Minimise the impact on the Shire's operations and public image.
6. Strategically manage the incident through strong leadership.
7. Restore time-critical business activities to acceptable levels within recovery time objectives.
8. Ensure that the recovery efforts have the necessary resources and support.
9. Set critical milestones and time frames for recovery.
10. Ensure all actions are documented for investigators.

Incident Leader and other Checklists begin after the Table of Contents

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Document Control

Version	Date Revised	Revised By	Changes Made
1.0	October 2018	Michael Sparks LGIS	Initial Draft for Consideration
1.1	January 2022	Tamara Clarkson	Review and Update
1.2	June 2025	Ben Forbes	Review and Update

Copies of this plan are located:

- Incident Management Team home/vehicle
- Depot
- Admin Office

Checklists:

1. Emergency Response

Action	Delegated to:	Complete
Respond to audible and telecommunication alarms	Onsite Staff	Date & Time
Evacuate Building if required to do so	Wardens	Date & Time
Account for and verify staff support and wellbeing and safety	Wardens	Date & Time
Receive information from relevant sources (Internal, DFES, Police, and Witnesses) before handing over to Emergency Services.	Chief Warden	Date & Time
Take appropriate safety precautions (e.g. turn off electricity) and close the safe if it is safe to do so.	Chief Warden	Date & Time
Contact neighbours if applicable. Advise them of the situation.	Chief Warden	Date & Time

2. Immediately After Emergency:

***It is essential that the Incident Management Team be informed of the incident as quickly as possible.**

Have all members of the Incident Management Team and spokesperson been informed?		
Rebecca McCall (Chief Executive Officer) 0428 647 312	Yes	Date & Time
Ben Forbes (Executive Manager Corporate Services) 0457 667 579	Yes	Date & Time
Ken Markham (Executive Manager Infrastructure Services) 0429 647 330	Yes	Date & Time
Cr Scott Stirrat (President) 0427 635 030	Yes	Date & Time

***If a Member cannot be reached, consider sending someone to them**

Are there any Witnesses? Is there any Photographic or CCTV evidence?

3. Plan Activation Procedures & Incident Leader Checklist

Incident Leader Checklist: Consider the following actions important:		
<u>Invoke this Response Plan if the incident could: Result in an unsafe workplace, negatively affect our community, disrupt critical activities for more than one day, affect multiple sites, or cause property or environmental damage</u> Convene the Incident Management Team to review the situation at an 'Incident Control Centre' venue in the following order: 1. CEO's office or Council Chambers. If inaccessible; 2. Community Resource Centre 3. Emergency Services Building 4. Recreation Centre Arrange access and teleconferencing facilities at Incident Control Centre.	Incident Management Team Leader	Date & Time
Agree future location of your Incident Control Centre and future meeting times for convening the Incident Management Team.	Delegated to:	Date & Time
Determine employee support and wellbeing requirements (See section 4 for more details).	Delegated to:	Date & Time
Start recording a log of all decisions, actions and issues	Delegated to:	Date & Time
Before sending anyone home (if applicable), determine Leadership Team and Staff roles and responsibilities (Support staff are listed below). Make sure they understand: Where they should go What they should do and how they should do it Remind them about the Social Media policy. If an employee is approached to make a comment, they should refer the media body to you. Reporting arrangements That their jobs are safe (if applicable) When they should come back to work When the next communication can be expected and how it will be communicated. • Contact and instruct staff not affected by the incident, currently off site, on leave or located elsewhere. • A main point of contact should be nominated and provided to all staff should they need to communicate. This should be a different person to that making the staff contacts.	Delegated to:	Date & Time
If electricity has been shut down, notify I.T. who may need to implement a shutdown procedure.	Delegated to:	Date & Time

Incident Leader Checklist: Consider the following actions important:		
Start recording an assessment of the situation: This is what we know..... This is what we don't know..... This is what we need you to do..... This is what we're going to do..... A more detailed assessment checklist can be found on the pages below.	Delegated to:	Date & Time
Delegate responsibilities for communications <u>Appendix A – Communications Guidelines</u>	Delegated to:	Date & Time
Depending on the nature of the incident, consider: • Requesting assistance from other local governments, contractors or stakeholders • Staffing requirements for the next 5 days • Supply requirements for the next 5 days • Other resources or equipment required for the next 5 days • Clearing backlogs • Leadership and staff rotation / rostering	Delegated to:	Date & Time
Notify neighbours	Delegated to:	Date & Time
Notify insurer and seek advice	Delegated to:	Date & Time
Contact Narembeen business, school & church leaders where appropriate	Delegated to:	Date & Time
Remind staff to photograph all evidence prior to initiating urgent repairs	Delegated to:	Date & Time
Ensure emergency funds are available if required	Delegated to:	Date & Time
Arrange for phones to be diverted and set up a temporary reception area.	Delegated to:	Date & Time
See 'Scenario-Specific' Checklists on following pages for more specific information relating to: • Loss of People • Loss of (or access to) buildings / infrastructure / equipment • Loss of I.T., Data or Communications • Loss of key Suppliers	See Section 4: 'React'	

Incident Leader Checklist: Consider the following actions important:

Assess and Prioritise:

- A. Time-Critical business functions
- B. Other activities for delivery
- C. Employee's support & wellbeing requirements
- D. All upcoming activities or events
- E. Key contacts / Organisations / Contractors to be contacted

See "Assess" Below

Additional Actions / Notes Log	Delegated to:	Complete
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time

Support Team

Name	Position	Contact
Peter Hulme Shire of Kalamunda	Building Services	9257 9941 Peter.Hulme@kalamunda.wa.gov.au
Contract Aquatic Services	Aquatic Centre Management	0438 416 427 – Clint (owner) 0415 847 547 – Koppo (manager)
Kel Lyon	Narembeen Club Committee representative (Recreation Centre)	0427 647 635
Tracey Hegarty	Caravan Park Caretaker	0400 554 913
Amos Laird	Mechanic	0428 647 712
Hope Brenchley	Community Resource Centre Coordinator (mat leave)	0404 277 658
Vanessa Wittstock	Community Resource Centre Coordinator	0498 444 875
Kathryn Conopo	Executive Governance Officer	0439 914 577
Brendon Gerrard	Environmental Health Officer	0409 770 824

4. Assess

Assess the Situation
Describe what has happened:
What action has been taken so far?
What has changed / is changing? / Will work hours be affected?
Which areas are impacted, or may still become impacted?
What might happen next?
How long is this Incident likely to continue?
What actions should be taken immediately?
What's the desired realistic outcome?
Can we put plans in place to deal with any backlogs?
How often should the team meet?

Identify and Prioritise
A. Time-Critical business functions
B. Other activities for delivery
C. Employee's support & wellbeing requirements
D. All Upcoming activities or events
E. Key contacts / Organisations / Contractors to be contacted

A. Time-Critical Business Functions

Critical Activities	Recovery Time Objective	Delegated to: Date & Time
Stakeholder communications including staff and elected members See 'Key Contact List'	1	Delegated to: Date & Time
Media liaison and official media releases	1	Delegated to: Date & Time
Contact all relevant contractors to confirm if they have been affected by the incident	1	Delegated to: Date & Time
Contact Insurers (LGIS)	1	Delegated to: Date & Time
Customer Service – (redirect main office numbers, set up new customer face-to-face office) Divert 9064 7308 to CEO 0428 647 312	1	Delegated to: Date & Time
Urgent Works requests (sewerage, drainage, retic, roads, traffic, trees, verges, etc.)	1	Delegated to: Date & Time
Urgent EHO-related requests (contamination, food premises, pests, etc)	1	Delegated to: Date & Time
I.T. and communications systems to the organisation (mainframe, internet, e-mail, systems, phones).	1	Delegated to: Date & Time
Accident investigation and incident reporting	1	Delegated to: Date & Time
Building safety maintenance requests	1	Delegated to: Date & Time
Burials, burial register and liaison with Funeral Directors	1	Delegated to: Date & Time
Close the swimming pool or manage pool quality, cleanliness, etc.	1	Delegated to: Date & Time
Ensure inductions are being performed	1	Delegated to: Date & Time
Establish a Community Centre for people to meet	1	Delegated to: Date & Time
Local and District Emergency Management Committee	1	Delegated to: Date & Time
Management of Contracts and Contractors	1	Delegated to: Date & Time
Payroll	1	Delegated to: Date & Time
Prepare the Recreation Centre as an emergency evacuation centre	1	Delegated to: Date & Time
Traffic Management	1	Delegated to: Date & Time
Bush Fire Mitigation / LEMC	3	Delegated to: Date & Time
Elections (if in election mode)	3	Delegated to: Date & Time
Financial accounting, rates, creditors, etc.	3	Delegated to: Date & Time
Oversee and manage return to work programs	3	Delegated to: Date & Time
Staff complaints and dispute handling	3	Delegated to: Date & Time
Administrative support to Councillors and CEO	5	Delegated to: Date & Time
Grant funding submissions	5	Delegated to: Date & Time
Management of Contracts and Contractors	5	Delegated to: Date & Time
Minutes and Agendas	5	Delegated to: Date & Time
Monitor septic tanks and caravan sewerage drop-points	5	Delegated to: Date & Time
Records Management including incoming and outgoing mail	5	Delegated to: Date & Time
Revenue control and funds management	5	Delegated to: Date & Time
Roads maintenance	5	Delegated to: Date & Time
Waste, litter control and recycling (Contracted)	5	Delegated to: Date & Time
Development applications	10	Delegated to: Date & Time

B. Other activities

Other activities	Priority	Delegated to:
Animal pound (food)		Delegated to:
Transport licensing		Delegated to:
Eftpos/Cash handling capabilities		Delegated to:
Fuel management		Delegated to:
Accounting and recordkeeping capabilities and access		Delegated to:
Pens, paper and stationery		Delegated to:
Internet access/hardware		Delegated to:
Workstations for employees		Delegated to:
		Delegated to:
		Delegated to:
		Delegated to:
		Delegated to:
		Delegated to:
		Delegated to:

C. Employee's support & wellbeing requirements:

Determine employee's support & wellbeing requirements:	Delegated to:	Complete
Set up a main contact point for staff should they need to communicate	Delegated to:	Date & Time
Monitor employee's medical & stress factors	Delegated to:	Date & Time
Engage external employee assistance program (EAP) Refer Key Contacts	Delegated to:	Date & Time
Consider employee's family responsibilities	Delegated to:	Date & Time
If required, assist employees who may have increased medical requirements such as; those persons who may be pregnant, recently undergone an operation, disabled or frail.	Delegated to:	Date & Time
Set up a roster system and / or additional resources to manage workload	Delegated to:	Date & Time
Contact family or next of kin with assistance from Employee Assistance Program or Police	Delegated to:	Date & Time
Organise refreshments, catering and toilet facilities	Delegated to:	Date & Time
Organise suitable transport arrangements for employees if required	Delegated to:	Date & Time
Organise temporary accommodation if required	Delegated to:	Date & Time
Ensure regular updates to staff and allocate responsibilities for updates. Methods: Radio; Email; SMS; Social Media; White Board; Bulletin board; Internet; TV; Newspapers; Other.	Delegated to:	Date & Time

D. Recurring Activities and Events

Who?	Activity	Occurs
CEO	Strategic Community Plan	Every 4 years
EMCS	Local Recovery Management Arrangements	Every 5 years
EMCS	Record Keeping Plan	Every 5 years
CEO /WM	Enterprise Bargaining Agreement (EBA)	Every 4 years
CEO	Local Laws – Review. Register to be updated annually	Every 8 years
CEO	CEO to review appropriateness and effectiveness of a LG systems and procedures in relation to: (a) Risk Management (b) Internal Control (c) Legislative compliance	Biannual
SFO	Review of Asbestos Register	Annually
EMCS	Compliance Audit Return	Annually
CEO	Annual Electors Meeting - to be held within 56 days of adoption of the Annual Report.	Annually
EMCS	Rates	Bi-monthly
EMCS	Fees and Charges review	Annually
EMCS	Report on Equal Employment Opportunity Survey (Public Sector commission)	Annually
CEO	Annual General Meeting for the Volunteer Bushfire Brigade	Annually
CEO	Delegation Review	Annually
CEO	OH&S - Audit completion of one emergency drill or evacuation per building.	Annually
EMCS	Disability Access and Inclusion Plan Review	Annually
CEO	Bush Fire - Appointment of Bush Fire Control Officers	Annually
EMCS	Emergency Management	Annually
CEO	Annual (Financial) Returns	Annually
EMCS	Elections	Biennial
EMCS	Review Business Continuity Plan	Annual
EMCS	Committees - Review Representatives and Terms of Reference	Biennial
EMCS	Review of Councils Information Statement and FOI Processes.	Annually
MW	Submit Black Spot Funding Applications	Annually
CEO	Budget to Council Adoption. Submit to DLG by 31 August.	Annually
EHO	Complete and submit annual Local Government Food Act and Public Health Act Reporting	Annually
EMCS	Rates - Issue rate notices	Annually
CEO	Annual Report - commence preparation. Due November OCM	Annually
CEO	Fire - Advertised prohibited burning times and Fire Break Notices.	Annually
CEO	Annual Electors Meeting Notice - public advertise at least 14 day prior	Annually
EMCS	Advertise Harvest Ban Hotline details and Christmas Day Total Harvest/Vehicle Movement Ban	Yearly

E. Key Contacts

Organisation	Contact
Building and Energy WA	1300 489 099
Department of Agriculture & Food	9690 2000
Department of Biodiversity, Conservation and Attractions	9219 9000
Department of Communities	9621 0400
Department of Corrective Services	9622 0400
Department of Education	9264 4111
Department of Finance	6551 1000
Department of Fire & Emergency Services (DFES)	9690 2303
Department of Health	9690 1300
Cyber & Infrastructure Security Centre (Transport Security)	1300 272 524
Department of Local Government, Sport and Cultural Industries	6552 7300
Department of Primary Industries and Regional Development	1300 374 731
Department of Transport	13 11 56
Department of Water and Environmental Regulation (DWER)	6467 5200 / 5000
Dial Before You Dig	1100
Disability Services Commission	9621 2693
Environmental Protection Authority (EPA)	6467 5427 / 5403
Heritage Council of WA	6551 8002
Landgate	9273 7373
Main Roads Western Australia	9622 4777 / 13 81 38
Parks and Wildlife Services	9621 3400 / 9290 6100
Police (Non-Emergency)	131 444
Police, Fire, Ambulance (Emergency)	000
Public Transport Authority	9326 2000
Services Australia	www.servicesaustralia.gov.au
Shire of Bruce Rock	9061 1002
Shire of Corrigin	9063 2203
Shire of Kondinin	9889 1006
Shire of Merredin	9041 1611
St John Ambulance	9064 7770
State Administrative Tribunal (SAT)	9219 3111 / 1300 306 017
State Library of Western Australia	9427 3111
Synergy	13 13 54
Treasury	9235 9100
Valuer General	9273 9170
Volunteer Bushfire Brigade Chief Fire Control Officer	0427 645 026
WALGA	9213 2000 / info@walga.asn.au
Waste Authority WA	9497 5321
Water Corporation	9622 4818 / 13 13 75
Western Power	13 13 51
WorkSafe: 1800 678 198 (24hrs serious incidents)	1300 307 877

Contractors / Suppliers

Service	Contractor/Supplier	Number
Australia Post	Post Office	0429 488 289
Banking	Commonwealth	9064 6000
Building and Construction	Chris Batty	0427 745 301
Bush Fire Brigade	Murray Dixon	0427 645 026
Bush Fire Brigade	Andy Hardham	0429 647 173
Couriers	Tyre Service	9064 7326
Concreting and Construction	Craig Kennedy	0429 647 137
Electrician	Mac Cole	0427 232 695
Electrician	Chris Bray	0418 911 872
Fuel Supply	Liberty Fuels	9041 4753
Funeral Directors (Merredin)	Mark McKenzie	9041 1054
Home and Community Care	Hospital	9064 6222
Health	Hospital	9064 6222
Health – Narembeen Medical Centre	Doctor	9064 7145
Insurance	LGIS	9483 8888
I.T.	Qbit	6364 0600
Local Newspaper	Fencepost	9064 7247
Mechanic	AMAC	9064 8602
Media Outlets - Radio	ABC Wheatbelt/Midwest	9923 4111
Media Outlets – Radio	Triple M	9041 3333
Pharmacy	Denis Chin	9064 7373
Plumbing	Dean - Willway Plumbing	0407 762 543
Fuel station/Roadhouse	Go Narembeen	0427 610 193
Refuse / Recycling Disposal	Avon Waste	9641 1318
Refuse – Transfer Station	Peter Miller	0427 385 549
Supermarket	IGA	9064 7223
Telecommunications	Merredin Telephone Services	9041 1199
Waste (Refuse Bins)	Avon Waste	9641 1318
Worker's Compensation	LGIS	9483 8888

5. React

Task	Delegated to:	Complete
Ensure delegation and activation of all: A. Time-Critical business functions B. Other activities for delivery C. Employee's support & wellbeing requirements D. All upcoming activities or events E. Key contacts / Organisations / Contractors to be contacted		
See 'Scenario-Specific' Checklists on following pages for more specific information relating to: • Loss of People • Loss of (or access to) buildings / infrastructure / equipment • Loss of I.T., Data or Communications • Loss of key Suppliers		
Monitor ongoing staff support & wellbeing requirements.	Delegated to:	Date & Time
Continue recording all decisions, actions and issues.	Delegated to:	Date & Time
Consider and agree the following key actions: What is considered to be the recovery objective(s)	Delegated to:	Date & Time
Delegate authority for special responsibilities	Delegated to:	Date & Time
Assign salvage or restoration responsibilities	Delegated to:	Date & Time
Delegate alternate actions for staff not affected by the incident	Delegated to:	Date & Time
Advise how and when future communications will take place: Radio; Email; SMS; Social Media; White Board, Bulletin board; Internet; TV; Newspapers When:	Delegated to:	Date & Time
Set the time, date & venue for the next meeting	Delegated to:	Date & Time

Task	Delegated to:	Complete
If not already completed, determine a meeting venue & call a staff meeting. Advise staff: Appraisal of the situation & the scope of the incident: (This is what we know, this is what we don't know, this is what we need you to do and this is what we're going to do). Make sure they understand: Where they should go What they should do and how they should do it Remind them about the Social Media policy. If an employee is approached to make a comment, they should refer the media body to you. Reporting arrangements That their jobs are safe (if applicable) When they should come back to work When the next communication can be expected and how it will be communicated. Contact and instruct staff not affected by the incident, currently off site, on leave or located elsewhere. A main point of contact should be nominated and provided to all staff should they need to communicate. This should be a different person to that who is making the staff contacts.	Delegated to:	Date & Time
Create a Communication Plan for Councillors, Media, Regulators, other Stakeholders and Staff as required. (Refer Appendix A – Communications Guidelines)	Delegated to:	Date & Time
Other actions:	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time

Scenario-Specific Checklists

a) Loss of (or access to) buildings / infrastructure / equipment

Tasks: Loss of (or access to) buildings / infrastructure / equipment	Delegated to:	Complete
If relocation is necessary; consider: <u>Alternative Locations:</u> ▪ Community Resource Centre ▪ Emergency Services Building ▪ Recreation Centre ▪ Depot ▪ Town Hall ▪ Local School ▪ Work from home ▪ Other Local Governments <u>Storage Locations:</u> Physical equipment; Contractors Local businesses	Delegated to:	Date & Time
Consider how workstations and communications for staff relocating to other sites will be established and allocated	Delegated to:	Date & Time
Staff travel arrangements to other sites	Delegated to:	Date & Time
Consider how staff working in shifts will be established and allocated (e.g. work two shifts of 5 hours rather than one shift of 8 hours)	Delegated to:	Date & Time
How workstations & communications for staff working from home will be organised Note: staff working from home should be housed at the office 2 days per week wherever possible	Delegated to:	Date & Time
Consider other support areas to assist with relocation	Delegated to:	Date & Time
Familiarise staff with new arrangements and determine communication protocols	Delegated to:	Date & Time
Arrange security access controls for the affected building	Delegated to:	Date & Time
Arrange security access controls for the new building/s	Delegated to:	Date & Time

Manage any new OHS/Support & wellbeing issues that may arise either - During relocation or - At the new building/s or - With the use of new equipment	Delegated to:	Date & Time
Notify Stakeholders of amended working arrangements	Delegated to:	Date & Time
Create a Communication Plan for Councillors, Media, Regulators, other Stakeholders and Staff as required. (Refer Appendix A – Communications Guidelines)	Delegated to:	Date & Time
Redirect: Emails, phones, etc	Delegated to:	Date & Time
Identify necessary people & equipment requirements to maintain Time-Critical Activities	Delegated to:	Date & Time
If possible, begin salvage or restoration activities	Delegated to:	Date & Time
Other:	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time

b) Loss of People

Tasks: Loss of People	Delegated to:	Complete
Determine: The number of staff away Affected service areas Expected return dates	Delegated to:	Date & Time
Ensure the safety and wellbeing of remaining staff	Delegated to:	Date & Time
Identify Time-Critical deliverables due today and for the next 5 days	Delegated to:	Date & Time
Determine the minimum number of staff required to continue operations and identify critical servicing and staffing gaps	Delegated to:	Date & Time
Consider how staff working in shifts will be established and allocated (e.g. work two shifts of 5 hours rather than one shift of 8 hours)	Delegated to:	Date & Time
Ensure replacement staff are inducted and competent	Delegated to:	Date & Time
Cease all non-critical activities (deferred activities) where appropriate	Delegated to:	Date & Time
In consultation with HR, notify / escalate to Health Department or Worksafe etc.	Delegated to:	Date & Time
Can temporary competent replacements be arranged: From other business units? From other sources: Refer Key Contacts - Other Local Governments - Casuals - Volunteers - Existing contractors - Recruitment agencies for Labour Hire (e.g. LoGo, WALGA) - State Government Agencies (Main Roads) - Retired or former employees	Delegated to:	Date & Time
Create a Communication Plan for Councillors, Media, Regulators, other Stakeholders and Staff as required. (Refer Appendix A – Communications Guidelines)	Delegated to:	Date & Time
Notify Stakeholders of amended working arrangements	Delegated to:	Date & Time
Other:	Delegated to:	Date & Time

c) Loss of IT or Communications

Tasks: Loss of IT or Communications	Delegated to:	Complete
Contact IT Contractor / Support / Cyber Insurer: LGIS Determine potential cause/s Clarify the extent of the outage Clarify the extent of any data loss Determine restoration target timeframes	Delegated to:	Date & Time
Determine whether there is a need for any other staff to assist I.T.	Delegated to:	Date & Time
Detail a strategy and resources for recovery, including assistance from external contractors, cyber insurer and I.T. specialists. Most important are Internet, Outlook & Synergy.	Delegated to:	Date & Time
Consider: Deliverables due today and for the next five days Consider how workstations & communications for staff relocating to other sites or working from home will be established and allocated Staff travel arrangements to other sites Manual procedures or workarounds Other productive activities not requiring I.T. or communications infrastructure	Delegated to:	Date & Time
Detail a strategy and resources for recovery, including assistance from neighbouring local governments, responders, external contractors, suppliers, insurers and specialists:	Delegated to:	Date & Time
Invoke the I.T. Disaster Recovery Plan	Delegated to:	Date & Time
If there has been a partial loss of IT or Communications, consider how staff working in shifts will be established and allocated (e.g. work two shifts of 5 hours rather than one shift of 8 hours)	Delegated to:	Date & Time
Notify Stakeholders of amended working arrangements	Delegated to:	Date & Time
Create a Communication Plan for Councillors, Media, Regulators, other Stakeholders and Staff as required. (Refer Appendix A – Communications Guidelines)	Delegated to:	Date & Time
Ensure ongoing interaction with appropriate IT Incident Management for regular updates and feedback	Delegated to:	Date & Time
Ensure protocols for regular updates and feedback	Delegated to:	Date & Time
Consider support & wellbeing requirements of the I.T. Contractor	Delegated to:	Date & Time
Other:	Delegated to:	Date & Time

d) Loss of Supplier

Tasks: Loss of Supplier	Delegated to:	Complete
Contact the Supplier (where possible) and determine: The nature and extent of the incident Have operations ceased entirely, or is it limited? Supply of any goods currently in transit Whether the supplier has stock on hand that you can collect Communication updates from the supplier if possible Assign someone to monitor & communicate with the supplier	Delegated to:	Date & Time
Restoration timeframes and clearance of backlogs (if applicable)	Delegated to:	Date & Time
Consider: Time-Critical activities that rely on this supplier	Delegated to:	Date & Time
Procurement Requirements Purchasing policy	Delegated to:	Date & Time
Length of time before these activities are impacted	Delegated to:	Date & Time
Alternative procedures	Delegated to:	Date & Time
Alternative suppliers / Other LGA's? Contact them immediately.	Delegated to:	Date & Time
Determine if there are any legal, health and safety, reputation or financial implications	Delegated to:	Date & Time
Notify Stakeholders of amended working arrangements	Delegated to:	Date & Time
Create a Communication Plan for Councillors, Media, Regulators, other Stakeholders and Staff as required. (Refer Appendix A – Communications Guidelines)	Delegated to:	Date & Time
Other:	Delegated to:	Date & Time

6. Manage

The following is a basic standing agenda for each regular meeting. Incident-specific information should also be included where relevant.

Tasks	Delegated to:	Complete
Arrange responsibilities for tasks & determine target completion times		
Record all decisions, actions and issues.	Delegated to:	Date & Time
Monitor ongoing staff support & wellbeing requirements	Delegated to:	Date & Time
Considerations to be discussed and actioned accordingly:	Delegated to:	Date & Time
• Review effectiveness of recovery actions to date	Delegated to:	Date & Time
• Discuss any emerging issues or new information	Delegated to:	Date & Time
• Reassess resource requirements and capabilities	Delegated to:	Date & Time
• Review all working arrangements for affected areas	Delegated to:	Date & Time
• Review all Time-Critical business activities (achievement of Recovery Time Objectives)	Delegated to:	Date & Time
• Review existing / current workload and any backlogs	Delegated to:	Date & Time
• Review all outstanding Deferred Activities and arrange resumption	Delegated to:	Date & Time
• Assess any insurance implications	Delegated to:	Date & Time
• Set next meeting and venue	Delegated to:	Date & Time
Identify & notify Key Contacts of amended working arrangements	Delegated to:	Date & Time
Provide feedback, information, copies of communications & copies of logs to the Admin Support Team to ensure that an appropriate record of the incident is maintained	Delegated to:	Date & Time
Provide updates to impacted staff	Delegated to:	Date & Time
Release external communications if deemed appropriate	Delegated to:	Date & Time
Conduct site visits if deemed appropriate and safe	Delegated to:	Date & Time
Ensure all relevant stakeholders continue to be kept informed	Delegated to:	Date & Time
Continue to monitor Incident and issue instructions as appropriate	Delegated to:	Date & Time
Review status of Incident and scale down recovery as situation dictates	Delegated to:	Date & Time
Implement staff rotation / rostering	Delegated to:	Date & Time
Other:	Delegated to:	Date & Time

7. Recover

Tasks	Delegated to:	Complete
Arrange responsibilities for tasks and determine target completion times		
Record all decisions, actions and issues.	Delegated to:	Date & Time
Monitor ongoing staff support and wellbeing requirements	Delegated to:	Date & Time
For review and agreement:	Delegated to:	Date & Time
Completed action items		
Recovery objectives	Delegated to:	Date & Time
Plans are in place to deal with any backlogs	Delegated to:	Date & Time
Communication to staff to recognise efforts	Delegated to:	Date & Time
Target date for completion of post incident review	Delegated to:	Date & Time
Provide copies of logs and decisions to Admin Officer for collation	Delegated to:	Date & Time
Undertake <u>post-incident review / debrief</u>, including: - Communication within and between Incident Management Team and Support areas - Effectiveness of communication with affected areas and stakeholders - Cost of recovery arrangements and insurance offsets - Effectiveness of recovery strategies - Advice to external and internal customers - Media arrangements - Impact of incident on Shire's reputation - Timeframes for tasks and achievement of target - Impact on work flows of affected and interdependent areas - Special staffing arrangements and acknowledgment of contributions. - IT recovery arrangements.	Delegated to:	Date & Time
Present findings to the Audit Committee for review.	Delegated to:	
Celebrate achievements and anniversary of incident (if appropriate).	Delegated to:	

Shire Recovery Information

Equipment:

Shire of Narembeen Details	Cumulative quantities required within ...				
	1 day	3 days	1 week	2 weeks	4 weeks
Cumulative:					
Workstations / Laptops (Comm's, Payroll, Customer Service)	1	2	3	5	All
Printers	1	1	2	2	All
Server					

Appendix A – Communications Guidelines

Sample Communications Template

New York Mayor Rudy Giuliani's format for providing 9/11 disaster information is given as an example of best practice:

- **this is what we know** _____
- **this is what we don't know** _____
- **this is what we are doing** _____
- **this is what we want you to do** _____

Communications Team Responsibilities

ONLY an authorised spokesperson may speak to the media.

Primary	Deputy	Role / Responsibility
CEO		• Works with Management Team / Council to publicly issue statements to the media. • Serves as lead representative at press conferences with assistance as required. • Approves all publicly disseminated information. • Identifies spokespersons if required.
		• Works in close liaison with the spokesperson to ensure message accuracy and delivery. • Assists with media relations.
		• Provides legal advice on communications strategies. • Provides legal advice on messaging to victim(s), family members, media, etc. • Approves messages before release.

Verify the Incident

WHAT happened?	
WHERE did it happen?	
WHEN did this happen?	
WHO is involved?	
HOW did it happen?	
WHY did it happen?	
WHAT is currently being Completed?	

When collecting information, it is important to consider the following:

- Have all the facts been obtained (to the best of your knowledge)? _____
- What other information is needed? _____
- Have the details of the situation been confirmed? _____
- Are the information sources credible? _____
- Is the information consistent from several sources? _____
- Other? _____

Notification Chart

Internal Audience	Mode of delivery, release date and time	Likely questions
Councillors	Face-to-face / SMS / phone call / e-mail / Conference call	What has happened? What is the impact? How have you responded? How could it happen and who is to blame? What is being done to fix it? What is the impact on customers and how are these are being managed? When will normal capability be restored? What is the status of your recovery?
Employees	Face-to-face / SMS / phone call / e-mail / Conference call	Where should we go? What should we do? How do we do it? What are we allowed to say? Will I get paid? Is my job safe? When do I come back to work? Impact of the incident? Continuing operational capability? Alternate work arrangements? Access to counseling services.
Employee's family		Are they safe?
Incident Management Team		What has happened? What is the impact? How should we respond?
Other?		
Other?		
External Audience	Mode of delivery, release date and time	Likely questions
Community	Face-to-face / SMS / phone call / Social Media / e-mail / Conference call / website / radio bulletin / press release	Will you be in a position to provide the services I require?
DFES / SES / WA Police		
Media: local, regional and national		What is the impact? How many casualties? Safety concerns for the local area?
Public		

External Audience	Mode of delivery, release date and time	Likely questions
Stakeholders		What has happened? What is the impact? How does this affect us? How could it happen and who is to blame? How have you responded? What is the status of your recovery?
Contractors / Suppliers		Will my bills be paid? Changes to supply requirements? How long will inventory need to be held? Capacity for changed pricing? Likely duration of supply impacts. Compensation available under contractual conditions?
Regulators		Are all relevant rules and regulations being adhered to? What is the compliance of other related areas? Can it happen again? What similar events have happened previously?
Other?		
Other?		

Message Mapping - Example

Stakeholders: e.g. Community, employees, clients, customers & shareholders	
Core Message 1	
At 2am on Tuesday 23 January 2019, a contractor Police have confirmed that a male of approximately 25 years of agewas discovered by workers this morning at approximately 6.30am. this is what we know	
Supporting core message 1	Evidence
It is not known why the contractor was on site at 2am ... this is what we don't know	A: Questioned staff B: Interviewed the witness C:
Information Supporting the core message 1	Evidence
We have contacted ... this is what we are doing	A: B: C:
Information Supporting the core message	Evidence
If anyone has any information ... this is what we want you to do	A: B: C:
Delivery Method: CEO: Verbal interview with reporter at 11am.	

Use the Event Log to record information, decision and actions

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Appendix C – Summary of Business Activities

Service Area	Activity	Delegated to: Date & Time
Governance	Advocacy	Delegated to: Date & Time
Governance	Annual Report	Delegated to: Date & Time
Communications	Civic Speeches	Delegated to: Date & Time
Communications	Communication Plans	Delegated to: Date & Time
Communications	Media liaison and official media releases	Delegated to: Date & Time
Communications	Social Media – Facebook, Website	Delegated to: Date & Time
Communications	Stakeholder communications	Delegated to: Date & Time
Community Services	Community education programs	Delegated to: Date & Time
Community Services	Community Housing	Delegated to: Date & Time
Community Services	Events / Festivals	Delegated to: Date & Time
Community Services	Programs – Disability, Youth, Seniors, Volunteers, Multicultural	Delegated to: Date & Time
Community Services	Reserve and Facility hire – seasonal and casual	Delegated to: Date & Time
Construction & Maintenance	Burials, burial register and liaison with Funeral Directors	Delegated to: Date & Time
Construction & Maintenance	Drainage Construction / Maintenance	Delegated to: Date & Time
Construction & Maintenance	Management of Contracts and Contractors	Delegated to: Date & Time
Construction & Maintenance	Reactive response to urgent repair requests	Delegated to: Date & Time
Construction & Maintenance	Road and Footpath Construction / Maintenance	Delegated to: Date & Time
Construction & Maintenance	Scheduled building maintenance / inspections	Delegated to: Date & Time
Construction & Maintenance	Street Lighting	Delegated to: Date & Time
Construction & Maintenance	Traffic Management/Road Projects	Delegated to: Date & Time
Construction & Maintenance	Capital building projects.	Delegated to: Date & Time
Community Services	Community Leases/Agreements	Delegated to: Date & Time
Corporate Services	Contract Administration	Delegated to: Date & Time
Corporate Services	Customer Service – first point of contact	Delegated to: Date & Time
Corporate Services	Grants	Delegated to: Date & Time
Corporate Services	Insurance program management	Delegated to: Date & Time
Corporate Services	Procurement (inc. Tender/ Disposal)	Delegated to: Date & Time
Development	Advice on statutory or strategic planning	Delegated to: Date & Time
Development	Assessment of development applications	Delegated to: Date & Time
Development	Building compliance activities.	Delegated to: Date & Time
Development	State Administrative Tribunal reviews	Delegated to: Date & Time
Emergency Management	Bushfire mitigation	Delegated to: Date & Time
Emergency Management	Local and District Emergency Management Committee	Delegated to: Date & Time
Environmental Health	Contaminated Sites	Delegated to: Date & Time
Environmental Health	Food Control/Handling	Delegated to: Date & Time
Environmental Health	Health Promotion	Delegated to: Date & Time
Environmental Health	Industrial Area Inspections	Delegated to: Date & Time
Environmental Health	Mosquito Control	Delegated to: Date & Time
Environmental Health	Pest Control	Delegated to: Date & Time

Service Area	Activity	Delegated to: Date & Time
Environmental Health	Public Buildings and Public Swimming Pools	Delegated to: Date & Time
Environmental Health	Reactive response to urgent EHO-related requests (Pest control, contamination, food premises, etc)	Delegated to: Date & Time
Financial Services	Acquittal facilitation	Delegated to: Date & Time
Financial Services	Financial Accounting	Delegated to: Date & Time
Financial Services	Invoicing and collection of charges	Delegated to: Date & Time
Financial Services	Management Accounting	Delegated to: Date & Time
Financial Services	Payment of creditors	Delegated to: Date & Time
Financial Services	Payroll	Delegated to: Date & Time
Financial Services	Rates	Delegated to: Date & Time
Fleet Management	Fleet and Plant Management	Delegated to: Date & Time
Fleet Management	Plant and equipment maintenance	Delegated to: Date & Time
Fleet Management	Vehicle fleet management	Delegated to: Date & Time
Governance	Administrative support to Councillors and CEO	Delegated to: Date & Time
Governance	Citizenship Ceremony	Delegated to: Date & Time
Governance	Corporate Reporting	Delegated to: Date & Time
Governance	Councillor Conference/ Event Attendance	Delegated to: Date & Time
Governance	Delegated Authority Register	Delegated to: Date & Time
Governance	Disclosure of Gifts	Delegated to: Date & Time
Governance	Elections	Delegated to: Date & Time
Governance	Interests and Disclosures	Delegated to: Date & Time
Governance	Local Laws	Delegated to: Date & Time
Governance	Minutes and Agendas	Delegated to: Date & Time
Governance	Policy	Delegated to: Date & Time
Human Resources	Employee and Industrial relations	Delegated to: Date & Time
Human Resources	Employee inductions	Delegated to: Date & Time
Human Resources	Legislative requirements relating to employment	Delegated to: Date & Time
Human Resources	Recruitment, selection and retention	Delegated to: Date & Time
Human Resources	Staff training and development	Delegated to: Date & Time
Human Resources	Workforce planning	Delegated to: Date & Time
Information Technology	Business Systems	Delegated to: Date & Time
Information Technology	IT Asset Management	Delegated to: Date & Time
Information Technology	IT Contracts management/renewal	Delegated to: Date & Time
Information Technology	Network Infrastructure	Delegated to: Date & Time
Information Technology	Provision of information technology and communications systems to the organisation	Delegated to: Date & Time
Information Technology	Security of critical applications and data	Delegated to: Date & Time
Information Technology	Telecommunications	Delegated to: Date & Time
Library Services	Children's and Adult Activities	Delegated to: Date & Time
Library Services	Management of Libraries	Delegated to: Date & Time
OH&S	Accident investigation and incident reporting	Delegated to: Date & Time
OH&S	Occupational Health and Safety Committee Meetings	Delegated to: Date & Time

Service Area	Activity	Delegated to: Date & Time
OH&S	Oversee and manage return to work programs	Delegated to: Date & Time
Organisational Development	Building organisational alignment, process improvement and embedding best practice	Delegated to: Date & Time
Organisational Development	Coordinate implementation of improvements and change management	Delegated to: Date & Time
Parks & Gardens	Landscape Design and Construction Services	Delegated to: Date & Time
Parks & Gardens	Litter control	Delegated to: Date & Time
Parks & Gardens	Manage reticulation systems and bores	Delegated to: Date & Time
Parks & Gardens	Private Works	Delegated to: Date & Time
Parks & Gardens	Reactive response to urgent jobs (trees over roads etc)	Delegated to: Date & Time
Parks & Gardens	Scheduled maintenance activities	Delegated to: Date & Time
Parks & Gardens	Street Tree Maintenance	Delegated to: Date & Time
Ranger Services	Assist with provision of bushfire mitigation	Delegated to: Date & Time
Ranger Services	Community education programs	Delegated to: Date & Time
Ranger Services	Permits issued under Local Laws	Delegated to: Date & Time
Ranger Services	Reactive response to urgent Ranger-related calls (Local Law enforcement, animal control, litter control, parking, etc.	Delegated to: Date & Time
Ranger Services	Security Watch - 24 Hour Security Patrols, Holiday Watch Program and Security Appraisals	Delegated to: Date & Time
Records Management	Disposal of records according to legislation	Delegated to: Date & Time
Records Management	Filing, retrieving and archiving of files	Delegated to: Date & Time
Records Management	Freedom of Information requests	Delegated to: Date & Time
Records Management	Registration & distribution of incoming and outgoing hard copy and digital correspondence	Delegated to: Date & Time
Records Management	Registration of building and planning applications	Delegated to: Date & Time
Recreation	Management of operations (eg. pool quality, cleanliness, etc.)	Delegated to: Date & Time
Recreation	Utilisation of the Recreation centre as an emergency evacuation centre	Delegated to: Date & Time
Technical Services	Infrastructure Asset Management (Roads, Drainage, Footpaths, Parks, Signage, Street Trees, Street Furniture)	Delegated to: Date & Time
Technical Services	Land/Property Data Management	Delegated to: Date & Time
Technical Services	Map Production Management	Delegated to: Date & Time
Technical Services	Spatial Systems Management	Delegated to: Date & Time
Technical Services	Waste Request System Management	Delegated to: Date & Time
Waste Management	Contracted waste and recycling collection	Delegated to: Date & Time
Waste Management	Illegal dumping	Delegated to: Date & Time
Waste Management	Manage waste management facilities	Delegated to: Date & Time
Waste Management	Management of controlled waste disposal	Delegated to: Date & Time
Waste Management	Monitor septic tanks & caravan sewerage drop-points	Delegated to: Date & Time
Waste Management	Waste and recycling management	Delegated to: Date & Time

Service Area	Activity	Delegated to: Date & Time
Waste Management	Waste and recycling promotion & education	Delegated to: Date & Time
	Medical Practice and Childcare	

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