



17 JUNE 2025

Shire of Esperance

ORDINARY COUNCIL MEETING

24 JUNE 2025

ATTACHMENTS EXCLUDED FROM AGENDA

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13.2 CEO Review of Systems and Procedures (Reg.17)
Attachment B: Reviewed Risk Register4

**Shire of Esperance
Risk Dashboard Report
November 2024**

Asset Sustainability practices		Risk	Control
		Moderate	Adequate
Failure or reduction in service of infrastructure assets, plant, equipment or machinery. These include fleet, buildings, roads and playgrounds and all other assets during their lifecycle from procurement to disposal.			
Actions	Due Date	Responsibility	
Develop SOPs for plant and equipment	Dec-25	Manager Asset Operations	
Develop SOPs for fleet management	Dec-25	Manager Asset Operations	
Develop SOPs for building routine maintenance	Dec-25	Manager Projects & Buildings	
Review SOPs for workshop equipment	Dec-25	Manager Asset Operations	
Implement risk assessment processes for high risk Assets	Jun-26	Manager Asset Planning & Development	
Building routine maintenance to be incorporated into MEX	Dec-25	Manager Projects & Buildings	
Identify end users as a key stakeholder in the project management plan for capital and major replacements/upgrades of assets	Dec-25	Manager Projects & Buildings	
Create SOP for prioritising annual works programs	Dec-25	Manager Asset Planning & Development	

Business & Community disruption		Risk	Control
		Moderate	Adequate
Failure to adequately prepare and respond to events that cause disruption to the local community and / or normal business activities. This could be a natural disaster, weather event, or an act carried out by an external party (e.g. sabotage / terrorism).			
Actions	Due Date	Responsibility	
Develop Generator action plan	Jun-25	Manager Projects & Buildings	
Test and review IT Disaster recovery plan	Jul-25	Manager Information Services	
Review Business Continuity Plan with operational teams	Jun-25	Chief Executive Officer	
Develop cyber response plan	Jul-25	Manager Information Services	
Airport Business Continuity Plan	Jun-25	Manager Economic Development	
increased communication and awareness in emergency evacuation processes	Jun-25	Chief Warden	
align safety officers and fire wardens to report to WHS committee and creating management practice	Sep-25	Chief Warden/WHS	

Compliance requirements		Risk	Control
		Moderate	Adequate
Failure to fulfil Compliance requirements (statutory, regulatory)			
Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated internal & public domain legal documentation.			
Actions	Due Date	Responsibility	
Develop SOPs on compliance.	Jun-25	Manager Development Services	
Review induction process	Jun-25	Manager Human Resources	
implementing standardised delegation register for recording use of delegations	Jun-25	Supervisor External Services Customer Experience	
investigate training opportunities for delegations (officer level)	Dec-25	Coordinator Governance & Corporate Support	
review procurement controls with implementation of procure to pay	Sep-25	Manager Financial Services	

Document Management processes		Risk	Control
		Moderate	Adequate
Failure to adequately capture, store, archive, retrieve, provide or dispose of documentation.			
Actions	Due Date	Responsibility	
Implementing refresher training in records management system for all staff periodically.	Mar-26	Coordinator Information Management	
Records manual to be updated	Mar-26	Coordinator Information Management	
Records disaster recovery plan to be updated	Mar-26	Coordinator Information Management	

Employment practices		Risk	Control
		Low	Adequate
Failure to effectively manage and lead human resources (full-time, part-time, casuals, temporary and volunteers).			
Actions	Due Date	Responsibility	
Establish HR SOPs (document control, approval and communication processes)	Jun-25	Manager Human Resources	
Identify Critical Roles within the organisation	Mar-25	Manager Human Resources	
improve cross organisational communication	Dec-25	OMG	
educate staff on performance management/grivance process	Dec-25	Manager Human Resources	
review performance review documentation - matrix for performance	Dec-25	Manager Human Resources	
implement internal recruitment onboarding processes	Dec-25	Manager Human Resources	

Engagement practices		Risk	Control
		Moderate	Adequate
Failure to maintain effective working relationships with the Community (including local Media), Stakeholders, Key Private Sector Companies, Government Agencies and / or Elected Members. This includes activities where communication, feedback or consultation is required and where it is in the best interests to do so.			
Actions	Due Date	Responsibility	
Finalise draft internal engagement plan	Jun-25	Manager Marketing and Communications	
Social media record keeping SOPs	Dec-25	Manager Marketing and Communications	
FAQ document for customer service staff to be continually updated. Process to be created for this.	Jun-25	Supervisor Asset Administration / Supervisor External Service Customer Experience	
Review DAIP	Jun-25	Manager Development Services	
Reassess social media use, including all pages	Dec-25	Manager Marketing and Communications	
Update communication and engagement strategy	Dec-25	Manager Marketing and Communications	

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Environment management			Risk	Control	Errors, omissions & delays			Risk	Control	External theft & fraud (Including Cyber)			Risk	Control
			Moderate	Adequate				Moderate	Adequate				Moderate	Adequate
Inadequate prevention, identification, enforcement and management of environmental issues.					Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process including incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff.					Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means (including electronic).				
Actions		Due Date	Responsibility		Actions		Due Date	Responsibility		Actions		Due Date	Responsibility	
Review Reserve Hierarchy		Dec-25	Manager Parks and Environment		Effective and comprehensive GIS, to provide previously available functionality		Dec-25	Manager Information Services		Small plant serial number identification/sign in process		Jun-25	Manager Asset Operations	
Resolve waste water issue at Depot- Propose to remove current washdown bay		Jun-26	Director Asset Management		Develop ICT strategy and plan		Dec-25	Manager Information Services		Set up Security and FOBs for all key buildings		Jun-25	Manager Projects & Buildings	
Prioritise the weed strategy		Jun-25	Manager Parks and Environment							Investigate and implement cashless options for campground management and online booking system		Jun-25	Manager Parks & Environment/Manager Recreation and Culture	
Review requirement for model waste local laws		Jun-25	Manager Sustainability and Resource Recovery							Review separation of duties processes		Jun-25	Manager Financial Services	
Create SOP for unauthorised native clearing by third parties on Shire land		Jun-25	Manager Parks and Environment											

<u>Management of Facilities / Venues / Events</u>			Risk Low	Control Adequate
Failure to effectively manage the day to day operations of facilities, venues and / or events.				
Actions	Due Date	Responsibility		
Increased inspections and documentation of Maintenance and Cleaning schedules	Jun-25	Manager Projects & Buildings		
Facility module on website	Dec-25	Manager Marketing & Communications		
Create central point for access to internal information regarding events taking place at venues	Dec-25	Manager Information Services		
Create permit module in Authority to track traders, use of LG, events, food premises etc.	Dec-25	Supervisor External Service Customer Experience		
Implement scheduling system to notify all relevant business units of events	Dec-25	Manager Information Services		

<u>IT or communication systems and infrastructure</u>			Risk Moderate	Control Adequate
Disruption, financial loss or damage to reputation from a failure of information technology systems. Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the community. This may or may not result in IT Disaster Recovery Plans being invoked.				
Actions	Due Date	Responsibility		
Test and review Disaster Recovery Plan	Jun-25	Manager Information Services		
Develop plan for generator use with IT systems	Jun-26	Manager Information Services		
Sufficient resources (people and infrastructure) in IT	Dec-25	Manager Information Services		
Adequate systems and expertise in management of the systems	Dec-25	Manager Information Services		

<u>Misconduct</u>			Risk Moderate	Control Adequate
Intentional activities intended to circumvent the Code of Conduct or activities in excess of authority, which circumvent endorsed policies, procedures or delegated authority.				
Actions	Due Date	Responsibility		
Schedule regular reminders for gift processes	Jun-25	Executive Assistant		
Increased training on code of conduct/misconduct	Dec-25	Manager Human Resources		

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Project / Change management		Risk	Control
		Moderate	Adequate
Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time delays or scope changes.			
Actions	Due Date	Responsibility	
Project contract management procedures	Dec-25	Coordinator Projects and Buildings	
Create handy hints sheet for projects	Dec-25	Manager Financial Services	

Safety and Security practices		Risk	Control
		Moderate	Adequate
Non-compliance with the Work Health & Safety Act, associated regulations and standards. It is also the inability to ensure the physical security requirements of staff, contractors and visitors. Other considerations are negligence or carelessness.			
Actions	Due Date	Responsibility	
Establish emergency drill schedule for all sites	Jun-25	Chief Warden	
Implement actions from LGIS audit	Jun-25	Coordinator WHS	
Security Upgrade (fobs)	Jun-25	Manager Projects & Buildings	
Introduce procedures for management of psychological hazards	Jun-25	Manager Human Resources	
Implement WHS system	Jun-25	Manager Human Resources	
Schedule regular communications for where to locate documents and procedures	Jun-25	Coordinator WHS	
Communicate the emergency plans for each work	Jun-25	Coordinator WHS	
Review site inductions	Jun-25	WHS Admin and Training Officer	
develop and follow consistent procedures for investigations to resolve in reasonable timeframes	Jun-25	Coordinator WHS	

Supplier / Contract management		Risk	Control
		Moderate	Adequate
Inadequate management of external Suppliers, Contractors, IT Vendors or Consultants engaged for core operations. This includes issues that arise from the ongoing supply of services or failures in contract management & monitoring processes.			
Actions	Due Date	Responsibility	
Contractor inductions & training in use of Rapid Global	Jun-25	Director Asset Management	
Develop procedure for minor contract supervision	Jun-25	Director Asset Management	
Review procurement process in line with procure to pay	Dec-25	Manager Financial Services	

Council Plan Objectives		Risk	Control
		Low	Adequate
A source of loss or failure from the pursuit of an unsuccessful business plan. This includes: <ul style="list-style-type: none">• Poor or uninformed decisions• Substandard execution of decisions• Inadequate resource allocation• Failure to respond to changes in the community Strategic risk can be classified as either internal or external. Internal risks arise from variables which can be controlled, such as Human, Technological, Physical and Operational factors. External risks arise from variables which can be managed but cannot be controlled, such as economics, politics, natural disasters and compliance.			
Actions	Due Date	Responsibility	
Develop SOPs for Governance, corporate reporting and corporate support areas	Dec-25	Coordinator Governance and Corporate Support	
Schedule ongoing internal and external communications for Council Plan	Dec-25	Manager Marketing & Communications	
Review Asset Management Plans	Dec-25	Manager Asset Planning & Development	
Develop IT Strategy	Dec-25	Manager Information Services	

Child Safe Organisation		Risk	Control
		Low	Adequate
Inadequate management of children within the Shire of Esperance and non-compliance with relevant legislation to safeguard children when in Shire facilities or attending Shire events.			
Actions	Due Date	Responsibility	
Discuss with DLGSC to determine what is required for Local Governments for the child safe framework	Sep-25	Community Development	

Asset Sustainability practices

Risk Context

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

Areas included in the scope are;

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

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

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Procurement Process (New asset determination)	Preventative	Nov-24	Adequate
Disposal Process	Preventative	Nov-24	Adequate
Roads Routine Maintenance Program	Preventative	Nov-24	Adequate
Roads / drainage asset inspections	Preventative	Nov-24	Adequate
Plant and equipment routine maintenance program	Preventative	Nov-24	Adequate
Buildings routine maintenance program	Preventative	Nov-24	Adequate
Fleet Management System	Preventative	Nov-24	Adequate
Asset replacement program	Preventative	Nov-24	Adequate
Statutory requirements (licencing, etc) in place	Preventative	Nov-24	Adequate
All maintenance and repairs are documented	Preventative	Nov-24	Adequate
Reactive maintenance	Recovery	Nov-24	Adequate
Equipment hire available if needed	Recovery	Nov-24	Adequate
Review of Asset Management Processes	Preventative	Nov-24	Adequate
Review of Asset Management Plans	Preventative	Nov-24	Adequate
Asset specific risk assessment process and reporting on high risk asset	Preventative	Nov-24	Adequate
Heritage 'Assets' Management Program	Preventative	Nov-24	Adequate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
Manager Asset Planning &	Yes	Yes	Yes	
Manager Asset Planning &	Yes	Yes	Yes	
Manager Asset Operations	No	Yes	Yes	Daily meetings with team to discuss road maintenance priorities Review of maintenance programs completed September 2022
Manager Asset Operations	No	Yes	Yes	Undocumented process in place to ensure all roads in the Shire are inspected every 3 months. GIS system to improve this process implemented.
Manager Asset Operations	Yes	Yes	Yes	MEX program implemented
Manager Projects & Buildings	No	Yes	Yes	Future program to roll into Mex
Manager Asset Operations	Yes	Yes	Yes	MEX program implemented
Manager Asset Planning &	Yes	Yes	Yes	
Manager Asset Operations	Yes	Yes	Yes	
Manager Asset Planning &	Yes	Yes	Yes	
Manager Asset Planning &	Yes	Yes	Yes	
Manager Asset Operations	Yes	Yes	Yes	
Director Asset Management	Yes	Yes	Yes	SAMP - to be reviewed 4 yearly
Director Asset Management	Yes	Yes	Partial	Ongoing improvements, some Plans have been reviewed others are still to be reviewed. Schedule of reviews developed to occur on 3 yearly basis.
Director Asset Management	No			Not documented, as required.
Manager Asset Planning & Development	Yes	Partial	Yes	Local heritage survey - management program to be reviewed

Stock Management	Preventative	Nov-24	Adequate
Pre-start inspections	Detective	Nov-24	Adequate

Overall Control Ratings:	Adequate
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Actions	Date Added	Due Date	Responsibility
Develop SOPs for plant and equipment	Jan-21	Dec-25	Manager Asset Operations
Develop SOPs for fleet management	Jan-21	Dec-25	Manager Asset Operations
Develop SOPs for building routine maintenance	Jan-21	Dec-25	Manager Projects & Buildings
Review SOPs for workshop equipment	Jan-21	Dec-25	Manager Asset Operations
Implement risk assessment processes for high risk Assets	Oct-18	Jun-26	Manager Asset Planning & Development
Building routine maintenance to be incorporated into MEX	Oct-22	Dec-25	Manager Projects & Buildings
Identify end users as a key stakeholder in the project management plan for capital and major replacements/upgrades of assets	Nov-24	Dec-25	Manager Projects & Buildings
Create SOP for prioritising annual works programs	Nov-24	Dec-25	Manager Asset Planning & Development

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

Manager Asset Operations	Yes	Yes	Yes	
Manager Asset Operations	Yes	Yes	Yes	Rolling out MEX

[illegible]

Business & Community disruption

Risk Context

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

This includes;

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

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

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Local Emergency Management Arrangements (LEMA)	Preventative	Nov-24	Adequate
Bushfire Risk Management Plan	Preventative	Nov-24	Adequate
Volunteer management	Preventative	Nov-24	Adequate
Community 'all hazard' education	Preventative	Nov-24	Adequate
Business Continuity Framework (Policy, Procedures & Plans)	Preventative	Nov-24	Adequate
Internal Emergency Management Plan	Preventative	Nov-24	Adequate
Generator	Recovery	Nov-24	Inadequate
I.T. Disaster Recovery Process	Recovery	Nov-24	Adequate
Workforce Plan	Preventative	Nov-24	Adequate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
Manager Ranger & Emergency	Yes	Yes	Yes	Council November OCM
Manager Ranger & Emergency Services	Yes	Yes	Yes	Completed Sept 2021
Manager Human Resources	Yes	Yes	Yes	Volunteer policy and management practice in place. Induction manual completed and volunteer code of conduct available.
Manager Ranger & Emergency Services	Yes	Yes	Yes	Processes in place and information available, ongoing development.
Chief Executive Officer	Yes	Yes	Yes	22/10/2020: comments that the continuity plan is not set up for pandemic situations noted that this is more around resourcing rather than the framework Noted that this is a high level document and we may require lower level plans to support - LGIS to review.
Chief Warden	Yes	Yes	Yes	Outcentre procedures developed. 2 year reviews
Manager Projects & Buildings	No			
Manager Information Services	Yes	Yes	Partial	2020: changed title to process rather than plan. Noted that the process is adequate, the Plan has been developed but needs updating.
Manager Human Resources	Yes	Yes	Yes	plan has been updated and endorsed.

Business & Community disruption

Volunteer training (Bushfire)	Preventative	Nov-24	Adequate
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Overall Control Ratings:	Adequate
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Actions	Date Added	Due Date	Responsibility
Develop Generator action plan	Jul-18	Jun-25	Manager Projects & Buildings
Test and review IT Disaster recovery plan	Jul-18	Jul-25	Manager Information Services
Review Business Continuity Plan with operational teams	Oct-22	Jun-25	Chief Executive Officer
Develop cyber response plan	Oct-22	Jul-25	Manager Information Services
Airport Business Continuity Plan	Nov-24	Jun-25	Manager Economic Development
increased communication and awareness in emergency evacuation processes	Nov-24	Jun-25	Chief Warden
align safety officers and fire wardens to report to WHS committee and creating management practice	Apr-25	Sep-25	Chief Warden/WHS

Consequence Category	Risk Ratings	Rating
Service Interruption / Reputation	Consequence:	Major (4)
	Likelihood:	Unlikely (2)
	Overall Risk Ratings:	Moderate

Manager Ranger & Emergency Services	Yes	Yes	Yes	New WHS process for training implemented. Working with farmers to differentiate between volunteer and farmer response.
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Status of Actions	Comments
<p>Aug 20: Generator purchased for airport, issues with install being reviewed and no ETA for this has been provided. Standby generator to be installed at Admin (old Wylie Bay genset).</p> <p>23/12/2019: new generator on order for airport. Old airport generator will be installed permanently at the depot for emergencies. Amend due date from Dec 19.</p> <p>30/06/2021: Budget bid for installation of generator in included in next years budget</p> <p>17/10/2022: update due date from June 2022.</p> <p>Oct 2024: Electrical design being conducted for Depot Generator</p> <p>Apr 2025: upgrade to switchboard required to allow changeover</p>	
<p>August 2020: Still in development, delayed due to staff leaving/COVID</p> <p>In progress, testing planned for Jan 2019. Amend date from June 2020.</p> <p>June 2019: Still in progress amend date from Feb 2019.</p> <p>June 2021: DR Plan is approved by the Audit Committee and Council. Still need to update forms and test.</p> <p>05/09/2022: Also need to test & review the 'Records Disaster Recovery Plan' at the same time.</p> <p>21/10/2022: to be reviewed and updated. Update due date from June 2022.</p> <p>Oct 2024: the DR Plan is being rewritten to incorporate the findings of the OAG review into LG ICT Disaster Recovery Planning</p>	Duplicate Action in IT or communication systems and infrastructure profile
<p>Oct 2024: Deferred - does not sit with WHS</p> <p>Nov 24: determined that this is something EMT need to discuss as to who is responsible for administering the plan/s</p> <p>Apr 2025: requested quote from LGIS for review</p>	Include pandemic information?
Oct 2024: Work on the Cyber Response Plan is continuing as resources allows.	

Compliance requirements

Risk Context

Failure to fulfil Compliance requirements (statutory, regulatory)

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

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

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

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Compliance framework / calendar	Preventative	Nov-24	Adequate
'Advice' monitoring (subscriptions & memberships)	Preventative	Nov-24	Adequate
Aquatic facilities monitoring	Preventative	Nov-24	Adequate
Annual Compliance Return	Detective	Nov-24	Adequate
Local laws review process	Preventative	Nov-24	Adequate
Procurement Controls	Preventative	Nov-24	Adequate
Financial interest return	Detective	Nov-24	Adequate
Training and Induction Process - Councillors	Preventative	Nov-24	Adequate
Training Induction Process - Staff	Preventative	Nov-24	Adequate
Delegation Register	Preventative	Nov-24	Adequate
Council report items identify statutory implications	Preventative	Nov-24	Adequate
CM Work flow notification process	Preventative	Nov-24	Adequate
External Compliance policy	Preventative	Nov-24	Adequate
Maintaining compliance with civil aviation act and regs	Preventative	Nov-24	Effective
Audits	Detective	Nov-24	Adequate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
Director Corporate and Community Services	Yes	Yes	Yes	Included in EMT meetings monthly.
CEO/Information Management Coordinator	No			Notifications from third parties providing information on updates to processes and legislation etc.
Manager Development Services	Yes	Yes	Yes	
Director Corporate and Community Services	Yes	Yes	Yes	Sent to Department of Local Government in March each year.
Coordinator Governance and Corporate Support	Yes	Yes	Yes	required to be reviewed every 8 years - register tracks when each are due for review.
Director Corporate and Community Services	Yes	Yes	Yes	
CEO	Yes	Yes	Yes	
Executive Assistant	Yes	Yes	Yes	
Manager Human Resources	Yes	Yes	Yes	
Coordinator Governance and Corporate Support	Yes	Yes	Yes	reviewed by Council every 12 months SOP developed - investigate programs
CEO	Yes	Yes	Yes	Noted that some cloned reports don't have current statutory/strategic information included as these need to be manually changed.
Manager Information Services	No			CM has been upgraded - action in Document Management profile
Manager Development Services	Yes	Partial	Yes	Policy adopted by Council early 2022. Review of active compliance matters against the policy has been completed and awaiting council review/consideration. Community education initiatives underway.
Manager Economic Development	Yes	Yes	Yes	Annual/Biennial audits undertaken - mix of external audits and updating manuals which are then signed off by external parties.
Director Corporate and Community Services	Yes	Yes	Yes	Internal audit approach processes

Regulation 17 review of processes, systems and procedures	Preventative	Nov-24	Adequate
Overall Control Ratings:			Adequate

Actions	Date Added	Due Date	Responsibility
Develop SOPs on compliance.	Oct-18	Jun-25	Manager Development Services
Review induction process	Oct-22	Jun-25	Manager Human Resources
implementing standardised delegation register for recording use of delegations	Nov-24	Jun-25	Supervisor External Services Customer Experience
investigate training opportunities for delegations (officer level)	Nov-24	Dec-25	Coordinator Governance & Corporate Support
review procurement controls with implementation of procure to pay	Nov-24	Sep-25	Manager Financial Services

Consequence Category	Risk Ratings	Rating
Reputation, Financial	Consequence:	Moderate (3)
	Likelihood:	Unlikely (2)
	Overall Risk Ratings:	Moderate

Director Corporate and Community Services	No			Review in progress, SOP to be developed following completion of process.
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Status of Actions	Comments
Working through various SOPs at the moment, in particular Dog Attacks, Compliance. Sharks Policy update due to be put up at December 22 OCM, management practice to follow. Advised that no due date is provided at this stage as currently staff are focussing on other areas. Once Ranger SOPs are completed, will move onto Waste/Health areas. Oct 2024: A gap analysis has been completed for all areas of waste and health to determine where an SOP is in place that needs to be reviewed and if a new SOP is required. This information is captured in a spreadsheet for tracking and reporting.	
Oct 2024: HR have reviewed Work Metrics Induction module with the aim of developing and implementing in 2024/25.	

Document Management processes

Risk Context

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

This includes:

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

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Document receipt process (scanned, registered, dated & actioned)	Preventative	Nov-24	Effective
Records Management system (Authority/Trim)	Preventative	Nov-24	Effective
Documentation archival / storage process	Preventative	Nov-24	Effective
Records Management Processes / Manual	Preventative	Nov-24	Adequate
Records disaster recovery plan	Recovery	Nov-24	Adequate
Training and induction	Preventative	Nov-24	Adequate
Councillor training in records management procedure	Preventative	Nov-24	Adequate
Records management security	Preventative	Nov-24	Adequate
Overall Control Ratings:			Adequate

Control Assurance				
Control Owner	Control Documented	Control is understood	Accuracy	Comments
Manager Information Services	Yes	Yes	Yes	Noted this should not be excellent as still working through digitisation backlog Receipt process for new documents is effective, working through backlogs of information.
Manager Information Services	Yes	Yes	Yes	
Manager Information Services	Yes	Yes	Yes	Set process determined by record keeping plan, due for review 2025
Manager Information Services	Yes	Yes	Yes	
Manager Information Services	Yes	Yes	Yes	
Manager Information Services	Yes	Yes	Yes	Noted that further training in CM is beneficial after approximately 3 weeks one staff have begun using the system. Records staff monitor key users to arrange for further training.
Coordinator Information Management	Yes	Yes	Yes	Regular training held with Councillors - records to be sent to Shire email for Records staff to save in CM
Manager Information Services	Yes	Yes	Yes	Security issues hard to identify as most are due to staff input errors. Currently undertaking audit of CM activity.

Actions	Date Added	Due Date	Responsibility
Implementing refresher training in records management system for all staff periodically.	Nov-24	Mar-26	Coordinator Information Management
Records manual to be updated	Nov-24	Mar-26	Coordinator Information Management
Records disaster recovery plan to be updated	Nov-24	Mar-26	Coordinator Information Management

[illegible]

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

Employment practices

Risk Context

Failure to effectively manage and lead human resources (full-time, part-time, casuals, temporary and volunteers).

This includes:

- Not having appropriately qualified or experienced people in the right roles.
- Insufficient staff numbers to achieve objectives.
- Breaching employee regulations.
- Discrimination, harassment & bullying in the workplace.
- Poor employee wellbeing (causing stress).
- Key person dependencies without effective succession planning in place.
- Industrial activity.

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Induction & onboarding process (including Code of Conduct)	Preventative	Nov-24	Adequate
Organisational training and development	Preventative	Nov-24	Adequate
Performance Management process (discipline / reviews)	Preventative	Nov-24	Adequate
Staff offboarding process	Preventative	Nov-24	Adequate
Workforce Planning	Preventative	Nov-24	Adequate
Volunteer Management (exc. Emergency)	Preventative	Nov-24	Adequate
Review of HR policies and procedures	Preventative	Nov-24	Adequate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
Manager Human Resources	Yes	Yes	Yes	Core HR induction processes are adequate, teams need to make improvements on area specific inductions for their staff. Onboarding processes to be improved.
Manager Human Resources	Yes	Yes	Yes	Noted that recording of training records needs improvement, particularly for those staff who have existing qualifications/tickets when commencing with us. Advised that in some cases this has been provided by the employee and is lost or not recorded in the system. Training registers have improved with cross-departmental collaboration to capture information in this regard and provide ongoing monitoring. Need to ensure compliance with changes in legislation, such as new licences required under WHS Act.
Manager Human Resources	Yes	Yes	Yes	Processes are adequate. Management/supervisory staff require further training and to hold their staff accountable.
Manager Human Resources	Yes	Yes	Yes	Offboarding process to be put in place similar to onboarding commencement form
Manager Human Resources	Yes	Yes	Yes	Current workforce plan 2017-2021. Noted that retention of Business Analyst position is necessary to assist the organisation with efficiencies and workflows.
Manager Human Resources	Partial	Yes	Yes	Policy complete.
Manager Human Resources	Partial	Yes	Yes	Policies documented, need to be updated to capture WHS legislation and change to state system. SOPs need to be documented

Retention of corporate knowledge	Preventative	Nov-24	Adequate
Adequate Staff for service requirements	Preventative	Nov-24	Adequate
Volunteer Management (Emergency)	Preventative	Nov-24	Adequate
Employee Survey	Detective	Nov-24	Adequate
Overall Control Ratings:			Adequate
Actions	Date Added	Due Date	Responsibility
Establish HR SOPs (document control, approval and communication processes)	Jul-18	Jun-25	Manager Human Resources
Identify Critical Roles within the organisation	Jan-21	Mar-25	Manager Human Resources
improve cross organisational communication	Nov-24	Dec-25	OMG
educate staff on performance management/grivance process	Nov-24	Dec-25	Manager Human Resources
review performance review documentation - matrix for performance	Nov-24	Dec-25	Manager Human Resources
implement internal recruitment onboarding processes	Nov-24	Dec-25	Manager Human Resources
Consequence Category	Risk Ratings		Rating
Compliance, Health, Reputational, Financial	Consequence:		<i>Minor (2)</i>
	Likelihood:		<i>Unlikely (2)</i>
	Overall Risk Ratings:		Low

Manager Human Resources	Partial	Yes	Partial	Succession planning and retention of corporate knowledge requires development across the organisation.
CEO	Yes	Yes	Yes	Progressing SOP development.
Manager Ranger and Emergency Services	Yes	Yes	Yes	Noted that there are training/skills gaps for staff, generally in historical roles or due to internal movements.
Manager Human Resources	Yes	Yes	Yes	Spontaneous volunteer SOP developed - part of local recovery plan.
				Last undertaken in 2024.

Status of Actions	Comments
in progress, being completed as resources are available 30/06/2021: SOP's are being developed as time permits. 04/02/2022: amended due date from Dec 21 to June 22 05/09/2022: Review of HR documentation workflow being undertaken. SOP to be developed post review. Volunteer management Oct 2024: HR team have been heavily involved in updating new employee documents and updating Authority.	
Form part of workforce plan - to be reviewed shortly 17/12/2019: amend due date from Dec 19 30/06/2021: Business Continuity Plan is currently being reviewed. Critical roles in relation to incidents have been identified in this Plan. 04/02/2022: amended due date from Dec 21 to June 22 05/09/2022: As part of EBA process review undertaken critical roles identified and remuneration anomalies identified.o. New Classification definitions established. Oct 2024: Not started	
suggested matrix ideas - need option between not meeting and meeting requirements. More guidance on how to score someone for each level.	

Engagement practices

Risk Context

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

For example;

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

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

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Stakeholder interaction/consultation relating to various department projects	Preventative	Nov-24	Adequate
Social media monitoring	Preventative	Nov-24	Effective
Facilitate local volunteering	Preventative	Nov-24	Adequate
Support local Volunteer groups	Preventative	Nov-24	Adequate
Community/media communications (public notices / local papers / website / message boards)	Preventative	Nov-24	Effective
Complaints management process	Recovery	Nov-24	Adequate
Dedicated staff resources	Preventative	Nov-24	Adequate
Community Perceptions Survey	Preventative	Nov-24	Adequate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
CEO	Yes	Yes	Yes	Delivery of information to the media team needs to be timely.
Manager Marketing and Communications	Yes	Yes	Yes	Continually updating processes and availability of systems. Upskill/training of staff as necessary.
Volunteer Resource Centre Coordinator	Yes	Yes	Yes	EVRC facilitates local volunteering in the community providing training and support to local volunteer involving organisations, as well as promoting volunteer opportunities within them
Community Development & Events Manager	Yes	Yes	Yes	Community Development and Events Team work with existing sporting and volunteer groups to ensure funding and development opportunities.
Manager Marketing and Communications	Yes	Yes	Yes	
CEO	Yes	Yes	Yes	
CEO	Yes	Yes	Yes	
Manager Marketing and Communications	Yes	Yes	Yes	To occur 2023.

Disability access and inclusion plan	Preventative	Nov-24	Adequate
Communication and Engagement Strategy	Preventative	Nov-24	Adequate
Consultation requirements with Council agenda report items	Preventative	Nov-24	Effective
Overall Control Ratings:			Adequate
Actions	Date Added	Due Date	Responsibility
Finalise draft internal engagement plan	Oct-22	Jun-25	Manager Marketing and Communications
Social media record keeping SOPs	Oct-22	Dec-25	Manager Marketing and Communications
FAQ document for customer service staff to be continually updated. Process to be created for this.	Nov-24	Jun-25	Supervisor Asset Administration / Supervisor External Service Customer Experience
Review DAIP	Nov-24	Jun-25	Manager Development Services
Reassess social media use, including all pages	Nov-24	Dec-25	Manager Marketing and Communications
Update communication and engagement strategy	Nov-24	Dec-25	Manager Marketing and Communications
Consequence Category	Risk Ratings		Rating
Reputation	Consequence:		<i>Minor (2)</i>
	Likelihood:		<i>Possible (3)</i>
	Overall Risk Ratings:		Moderate

Manager Development Services	Yes	Yes	Yes	Plan endorsed, working group in place. Noted that the DAIP Working Group should review all applications received for Shire projects as most are reviewed against Aus Standards which can be not practical from a DAIP perspective. SOP/MP to be developed for this process/update existing SOPs for this process? Staff to receive training to increase understanding of DAIP requirements. Require commitment from Staff to consider DAIP in BAU.
Manager Marketing and Communications	Yes	Yes	Yes	
Executive Assistant	Yes	Yes	Yes	

Status of Actions	Comments
Oct 2024: Not started	
SOPs to be developed in conjunction with Records. Oct 2024: Not started	
Provided to DAIP members for feedback.	

Environment management

Risk Context

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

The scope includes;

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

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Environment management monitoring	Preventative	Nov-24	Adequate
Recreational water monitoring	Preventative	Nov-24	Adequate
Drinking water monitoring	Preventative	Nov-24	Adequate
Biosecurity monitoring	Reactive	Nov-24	Adequate
Mosquito monitoring	Preventative	Nov-24	Adequate
Community education & engagement e.g. schools (Waste)	Preventative	Nov-24	Adequate
Bushfire risk mitigation	Preventative	Nov-24	Adequate
Support volunteer environment management groups and community	Preventative	Nov-24	Adequate
Environmental monitoring, testing and inspection programs (waste)	Preventative	Nov-24	Adequate
Waste Management Policies and procedures	Preventative	Nov-24	Adequate
Weed control	Preventative	Nov-24	Adequate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
Manager Parks and Environment	Yes	Yes	Yes	
Manager Development Services	Yes	Yes	Yes	
Manager Development Services	Yes	Yes	Yes	
Manager Sustainability and Resource Recovery/Manager Development Services/Manager Ranger and Emergency Services	Yes	Yes	Yes	waste acceptance, animal management facility, general biosecurity threats.
Manager Development Services	Yes	Yes	Yes	Seasonal
Manager Sustainability and Resource Recovery	Yes	Yes	Yes	Council adoption of community engagement strategy for FOGO, progressively being implemented.
Manager Ranger & Emergency Services	Yes	Yes	Yes	bushfire risk mitigation plan - reviewed 5 yearly, next due 2026. Works completed subject to funding.
Manager Parks and Environment	Yes	Yes	Yes	Reported through monthly reporting. Monitored and acquitted through grant processes.
Manager Sustainability and Resource Recovery	Yes	Yes	Yes	
Manager Sustainability and Resource Recovery	Yes	Yes	Yes	
Manager Parks and Environment	Yes	Yes	Yes	Weed and seed training with outdoor staff and supervisors.

Implementation of Native vegetation clearing permits	Preventative	Nov-24	Adequate
Reporting unauthorised native vegetation clearing by external parties on Shire land	Reactive	Nov-24	Adequate
Review Reserve Management Orders	Preventative	Nov-24	Adequate
Town Planning Scheme	Preventative	Nov-24	Effective
Coastal Hazard Adaptation Strategy	Preventative	Nov-24	Adequate
Coastal Management Plan	Preventative	Nov-24	Adequate
Dempster Head Management Plan	Preventative	Nov-24	Adequate
Playground and Public Open Space Strategy	Preventative	Nov-24	Adequate
Pink Lake Feasibility Study	Preventative	Nov-24	Adequate
Waste Management external audit and compliance with acts and regulations	Detective	Nov-24	Adequate
Overall Control Ratings:			Adequate

Actions	Date Added	Due Date	Responsibility
Review Reserve Hierarchy	Oct-22	Dec-25	Manager Parks and Environment
Resolve waste water issue at Depot- Propose to remove current washdown bay	May-18	Jun-26	Director Asset Management
Prioritise the weed strategy	Sep-18	Jun-25	Manager Parks and Environment

Director Asset Management	Yes	Yes	Yes	Information included in Intramaps. Construction and environmental officer meetings, as required.
Manager Parks and Environment	Partial	Yes	Yes	
Manager Parks and Environment	Yes	Yes	Yes	Discuss with Planning - mandatory.
Manager Development Services	Yes	Yes	Yes	
Manager Parks and Environment	Yes	Yes	Yes	
Manager Parks and Environment	Yes	Yes	Yes	
Manager Parks and Environment	Yes	Yes	Yes	
Manager Parks and Environment	Yes	Yes	Yes	
Manager Parks and Environment	Yes	Yes	Yes	
Manager Sustainability and Resource Recovery	Yes	Yes	Yes	Waste local law drafted.

Status of Actions	Comments
Oct 2024: Not started Commenced, Jeanette working through.	
June 2019: AM Managers advised that pound is required to be moved prior to this being completed. 22/10/2020: amend due date from Jun 20. 16/05/2022: amend due date from Jun 21 to Jun 23. Oct 2024: Not started 25/26 budget	
Possible local law - dependant on motion to be discussed at August 2020 Council Meeting. priorities to be determined based on budget/resources Oct 2024: Not started To be completed this financial year, Kat W working on.	

Review requirement for model waste local laws	Jun-18	Jun-25	Manager Sustainability and Resource Recovery
Create SOP for unauthorised native clearing by third parties on Shire land	Nov-24	Jun-25	Manager Parks and Environment
Consequence Category	Risk Ratings		Rating
Environment, Reputation, Financial	<i>Consequence:</i>		<i>Moderate (3)</i>
	<i>Likelihood:</i>		<i>Possible (3)</i>
	Overall Risk Ratings:		Moderate

<p>10/12/2019: Amended due date to 2021 as process not yet started and will take approximately 12 months to complete. To be developed in conjunction with 3rd bin system. Process should begin first quarter of 2020.</p> <p>22/10/2020: Not looking at putting this to Council as includes FOGO so not much need at this stage. Will be more necessary when 3rd bin is introduced.</p> <p>30/06/2021: To be reviewed once the Myrup Waste Transfer Station design is complete as this could affect the Local Law</p> <p>Oct 2024: A waste local law has been drafted and consultation is currently underway prior to finalisation.</p>	

Errors, omissions & delays

Risk Context

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

Examples include;

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

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

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Employment of appropriately skilled and qualified staff	Preventative	Nov-24	Adequate
Facilities/Works documented procedures & monitoring	Preventative	Nov-24	Adequate
Staff training program (mentoring, formal & on-the-job)	Preventative	Nov-24	Adequate
Documented information sheets / website information / FAQ's to assist customer service staff in providing advice to customers	Preventative	Nov-24	Adequate
Complaints resolution process	Recovery	Nov-24	Adequate
External resources (advisory support)	Preventative	Nov-24	Adequate
Adequate systems and software	Preventative	Nov-24	Adequate
Overall Control Ratings:			Adequate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
CEO	Yes	Yes	Yes	
All facility managers	Yes	Yes	Yes	SOPs in development, see Asset Sustainability Profile
Manager Human Resources	Yes	Yes	Yes	
Manager Marketing and Communications	Yes	Yes	Yes	
Director Corporate and Community Services	Yes	Yes	Yes	
CEO	No			
Manager Information Services				Noted that ESRI and Authority functionality could be improved, along with user's knowledge of the systems.

Actions	Date Added	Due Date	Responsibility
Effective and comprehensive GIS, to provide previously available functionality	Nov-24	Dec-25	Manager Information Services
Develop ICT strategy and plan	Nov-24	Dec-25	Manager Information Services

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

Status of Actions	Comments
Apr 2025: currently recruiting for employee to assist with ESRI	

External theft & fraud (Including Cyber)**Risk Context**

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

For the purposes of;

-Fraud: benefit or gain by deceit

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

-Theft: stealing of data, assets or information

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Building Security access controls (alarms, CCTV, keypad access)	Preventative	Nov-24	Adequate
IT Security Framework (passwords / security protocols)	Preventative	Nov-24	Adequate
Cash/Stock handling Procedures	Preventative	Nov-24	Adequate
Purchasing authority	Preventative	Nov-24	Adequate
Separation of duties for updates to creditor details	Preventative	Nov-24	Adequate
Visitor Management Procedure	Preventative	Nov-24	Adequate

Overall Control Ratings:**Adequate**

Actions	Date Added	Due Date	Responsibility
Small plant serial number identification/sign in process	Oct-22	Jun-25	Manager Asset Operations
Set up Security and FOBs for all key buildings	Nov-24	Jun-25	Manager Projects & Buildings
Investigate and implement cashless options for campground management and online booking system	Nov-24	Jun-25	Manager Parks & Environment/Manager Recreation and Culture
Review separation of duties processes	Nov-24	Jun-25	Manager Financial Services

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

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
Manager Projects & Buildings	Partial	Yes	Yes	Duplicate control in Security profile
Manager Information Services	Partial	Yes	Yes	Robbie noted that this framework is separate to the disaster recovery plan. Working on increasing documentation
Manager Financial Services	Yes	Yes	Yes	Refreshing procedures and reviewing use of credit cards in lieu of cash. Internal policy for cash management to be created.
Manager Financial Services	Yes	Yes	Yes	Being reviewed as part of procurement process.
Manager Financial Services	Yes	Yes	Yes	Procedure in place, last updated March 2021.
Manager Human Resources	Yes	Yes	Yes	D18/25901

Status of Actions**Comments**

Oct 2024: in progress	
	implement booking system through existing software available.

Management of Facilities / Venues / Events

Risk Context

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

This includes;

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

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Event management procedures and monitoring	Preventative	Nov-24	Adequate
Inspection, maintenance and cleaning schedules	Preventative	Nov-24	Adequate
Facility / Venue booking system (including bonds)	Preventative	Nov-24	Inadequate
All departments are kept informed (road works, retic, catering, maintenance, traffic management, etc.) about activities taking place at venues	Preventative	Nov-24	Inadequate
Events package given to hirer (information sheets, events questionnaire / procedures / checklist)	Preventative	Nov-24	Adequate
Feedback from community and users of facilities	Recovery	Nov-24	Adequate
Debrief of all major Shire community events	Recovery	Nov-24	Adequate
Overall Control Ratings:			Adequate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
Manager Development Services	Yes	Yes	Yes	Process map process to form part of small business program.
Manager Projects & Buildings	Yes	Yes	Yes	
CEO	Yes	Yes	Yes	Small business program to streamline booking processes as currently we have multiple different ways of booking venues depending on who manages them (i.e. ovals, civic centre, stadiums etc.) Noted that some bookings have not been made in a timely manner, causing spaces to not be available due to alternative bookings in place. (i.e. Ag Show)
CEO	Yes	Yes	Yes	
CEO	Yes	Yes	Yes	
CEO	Yes	Yes	Yes	
Community Development and Events Manager	Yes	Yes	Yes	Debrief meetings undertaken, documented in Onenote.

Actions	Date Added	Due Date	Responsibility
Increased inspections and documentation of Maintenance and Cleaning schedules	Jan-21	Jun-25	Manager Projects & Buildings
Facility module on website	Nov-24	Dec-25	Manager Marketing & Communications
Create central point for access to internal information regarding events taking place at venues	Nov-24	Dec-25	Manager Information Services
Create permit module in Authority to track traders, use of LG, events, food premises etc.	Nov-24	Dec-25	Supervisor External Service Customer Experience
implement scheduling system to notify all relevant business units of events	Nov-24	Dec-25	Manager Information Services
Consequence Category	Risk Ratings		Rating
Reputation	Consequence:		<i>Insignificant (1)</i>
	Likelihood:		<i>Unlikely (2)</i>
	Overall Risk Ratings:		Low

[illegible]

IT or communication systems and infrastructure

Risk Context

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

Examples include failures or disruptions caused by:

- Hardware or software
- Networks
- Failures of IT Vendors

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

- Configuration management
- Performance monitoring

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

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Formal IT Infrastructure maintenance & replacement	Preventative	Nov-24	Effective
IT Vendor service agreement monitoring	Detective	Nov-24	Adequate
Infrastructure Security (security access protocols, firewalls)	Preventative	Nov-24	Adequate
UPS / Generator	Recovery	Nov-24	Inadequate
IT Disaster Recovery Process	Recovery	Nov-24	Adequate
Staff and contractor information training and induction	Preventative	Nov-24	Adequate
Daily back-up	Preventative	Nov-24	Effective
IT Support	Recovery	Nov-24	Adequate
IT policies and procedures	Preventative	Nov-24	Adequate
Overall Control Ratings:			Adequate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
Manager Information Services	Yes	Yes	Yes	10 year plan in place
Manager Information Services	Yes	Yes	Yes	noted Civica support issues ongoing
Manager Information Services	Yes	Yes	Yes	
Manager Information Services	No			UPS are in place, Generator plan to be developed.
Manager Information Services	No			2020: changed title to process rather than plan. Noted that the process is adequate, although the Plan is still being developed.
Manager Information Services	Yes	Yes	Yes	
Manager Information Services	Yes	Yes	Yes	
Manager Information Services	Yes	Yes	Yes	Noted delay in more difficult tickets being resolved, view that easy tickets receive priority.
Manager Information Services	Yes	Yes	Yes	No SOP for technical information as third party provides instructions and these change often.

IT or communication systems and infrastructure

Actions	Date Added	Due Date	Responsibility
Test and review Disaster Recovery Plan	Jul-18	Jun-25	Manager Information Services
Develop plan for generator use with IT systems	Jul-18	Jun-26	Manager Information Services
Sufficient resources (people and infrastructure) in IT	Nov-24	Dec-25	Manager Information Services
Adequate systems and expertise in management of the systems	Nov-24	Dec-25	Manager Information Services
Consequence Category	Risk Ratings		Rating
Service disruption	Consequence:		<i>Minor (2)</i>
	Likelihood:		<i>Possible (3)</i>
	Overall Risk Ratings:		Moderate

Status of Actions	Comments
Duplicate action - See profile 2	Duplicate Action in Business Disruption Profile
Aug 20: to be completed once generator installed. Amend due date from Jun 20. 16/12/2019: amended due date from Dec 2019. Airport to receive new generator early 2020, old generator to be installed at depot following this. 30/06/2021: Not started yet. On hold until Asset Management has finalised the generator infrastructure. 05/09/2022: Depends on type of generator to be installed by Asset Management before this can be developed. Oct 2024: not due to start	To be developed in conjunction with Manager Asset Planning

Misconduct

Risk Context

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

This would include instances of:

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

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

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Delegated authority structure / Segregation of duties	Preventative	Nov-24	Adequate
IT Security Framework	Preventative	Nov-24	Adequate
Cash handling procedures	Preventative	Nov-24	Adequate
Staff on-boarding / induction program (Code of Conduct)	Preventative	Nov-24	Adequate
External Audits	Preventative	Nov-24	Effective
Police clearances	Preventative	Nov-24	Effective
Annual licence checks (licence/tickets etc.)	Preventative	Nov-24	Adequate
Strong management culture (Zero tolerance for misconduct formalised and communicated policy)	Preventative	Nov-24	Adequate
Procurement process (procurement policy)	Preventative	Nov-24	Adequate
Financial Interest Return	Preventative	Nov-24	Adequate
Organisational policies and Management Practices	Preventative	Nov-24	Adequate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
CEO	Yes	Yes	Yes	
Manager Information Services	Yes	Yes	Yes	
Manager Financial Services	Yes	Yes	Yes	
Manager Human Resources	Yes	Yes	Yes	
Manager Financial Services	Yes	Yes	Yes	
Manager Human Resources	Yes	Yes	Yes	
Manager Human Resources	No			Annual check for expired licences currently undertaken. Checks to ensure staff have current licence (ie: haven't lost their licence) has been implemented, yet to be documented. Skills register has been reviewed and updated to capture licences and tickets
CEO	Yes	Yes	Yes	
Manager Financial Services/Director Asset Management	Yes	Yes	Yes	
Executive Assistant	Yes	Yes	Yes	Procedure in place - to be transferred to current template and made available in CM.
Director Corporate and Community Services	Yes	Yes	Yes	

Support from external industrial relations advice (WALGA)	Preventative	Nov-24	Effective
Compliance with code of conduct	Preventative	Nov-24	Adequate
Gift Register	Preventative	Nov-24	Adequate

Overall Control Ratings:

Adequate

Actions	Date Added	Due Date	Responsibility
Schedule regular reminders for gift processes	Nov-24	Jun-25	Executive Assistant
Increased training on code of conduct/misconduct	Nov-24	Dec-25	Manager Human Resources

Consequence Category	Risk Ratings	Rating
Reputation / Finance	Consequence:	<i>Moderate (3)</i>
	Likelihood:	<i>Unlikely (2)</i>
	Overall Risk Ratings:	Moderate

Manager Human Resources	No	Yes	Yes	WALGA - used as required, no documentation necessary
CEO	Yes	Yes	Yes	
Executive Assistant	Yes	Yes	Yes	Register is current and available on website. Procedure in place - to be transferred to current template and made available in CM.

Status of Actions	Comments

Project / Change management

Risk Context

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

This includes:

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

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

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Staff Understanding of Project Management / Contract Management	Preventative	Nov-24	Adequate
Internal and External Stakeholder interaction/consultation relating to various department projects	Preventative	Nov-24	Adequate
Committee / Council reporting (including Risk)	Preventative	Nov-24	Adequate
Post-project debriefs (Major projects)	Preventative	Nov-24	Adequate
Risk assessments are conducted before and during major projects	Preventative	Nov-24	Adequate
Training relevant staff in project management and contract management	Preventative	Nov-24	Adequate
Communication of changes within organisation	Preventative	Nov-24	Adequate
Overall Control Ratings:			Adequate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
Director Asset Management	Partial	Yes	Yes	Staff knowledge of project management procedures Training undertaken for staff involved in major projects and contracts
CEO	Partial	Yes	Yes	IT/DAIP Working Group not consulted for projects when in development (ie: installation for power/data ports in buildings) Engagement policy in place, consultation framework to be developed.
CEO	Yes	Yes	Yes	
Director Asset Management	Partial	Yes	Yes	completed contract review template
Director Asset Management	Yes	Yes	Yes	Formal risk assessments undertaken before project, ongoing reviews as required throughout projects.
Director Asset Management	Yes	Yes	Yes	
CEO	Yes	Yes	Yes	

Actions	Date Added	Due Date	Responsibility
Project contract management procedures	Nov-24	Dec-25	Coordinator Projects and Buildings
Create handy hints sheet for projects	Nov-24	Dec-25	Manager Financial Services

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

Status of Actions	Comments

Safety and Security practices

Risk Context

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

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Building Security access controls (alarms, CCTV, keypad access)	Preventative	Nov-24	Adequate
WHS Management Framework	Preventative	Nov-24	Adequate
Contractor inductions	Preventative	Nov-24	Adequate
Staff site inductions	Preventative	Nov-24	Adequate
Drug and alcohol policy	Preventative	Nov-24	Adequate
Employee Assistance Program	Preventative	Nov-24	Adequate
Incident register / incident reporting procedures	Preventative	Nov-24	Adequate
Emergency Management Procedures- Internal	Preventative	Nov-24	Adequate
Consider safety issues when purchasing	Preventative	Nov-24	Adequate
Regular documented workplace safety inspections	Preventative	Nov-24	Adequate
Safe work practices (Safe Work Method Statements)	Preventative	Nov-24	Adequate
Toolbox meetings	Preventative	Nov-24	Adequate
Trained first aiders	Preventative	Nov-24	Adequate
Asbestos Registers and Management Plans	Preventative	Nov-24	Adequate
WHS Contractor Management Questionnaire	Preventative	Nov-24	Adequate
LGIS Audit	Detective	Nov-24	Adequate
Volunteer Management & Training	Preventative	Nov-24	Adequate
Staff training	Preventative	Nov-24	Adequate
Workplace safety inspections	Preventative	Nov-24	Adequate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
Manager Projects & Buildings	Yes	Yes	Yes	Duplicate control in External Theft & Fraud profile
Manager Human Resources	Yes	Yes	Yes	Updated in 2024.
Director Asset Management	Yes	Yes	Yes	
Manager Human Resources	Yes	Yes	Yes	Review of site inductions underway.
Manager Human Resources	Yes	Yes	Yes	Reviewed in 2024. Swab tests undertaken and posted to Perth, problem with degraded samples. Transport to be improved.
Manager Human Resources	Yes	Yes	Yes	Telus approached for improvement of service standards.
Manager Human Resources	Yes	Yes	Yes	Final draft stage, to be completed by Feb 2025.
Chief Warden	Yes	Yes	Yes	Individual outcentre procedures developed. New terms of reference have been developed and Wardens refresher training undertaken.
Director Asset Management	Yes	Yes	Yes	
Manager Human Resources	Yes	Yes	Yes	Depot inspections monthly, inspections for specific areas to be set and undertaken by officers from other areas.
Manager Human Resources	Yes	Yes	Yes	Continuing to improve these practices, ongoing review and development.
Manager Human Resources	Yes	Yes	Yes	Normal schedule maintained.
Manager Human Resources	Yes	Yes	Yes	Training provided as required. New first aid officers being identified and will receive training.
Manager Projects & Buildings	Yes	Yes	Yes	Last updated 2021. Reviewed at 5 yearly intervals
Director Asset Management	Yes	Yes	Yes	
Manager Human Resources	Yes	Yes	Yes	Audit undertaken every 3 years. Last undertaken in 2024, awaiting final report.
Manager Human Resources	Yes	Yes	Yes	Volunteer induction manual and code of conduct developed in 2022/23.
Manager Human Resources	Yes	Yes	Yes	140% increase in 2024 for training courses held
Manager Human Resources	Yes	Yes	Yes	WHS team complete these inspections on daily basis.

Workplace safety policies and procedures	Preventative	Nov-24	Adequate
Overall Control Ratings:			Adequate
Actions	Date Added	Due Date	Responsibility
Establish emergency drill schedule for all sites	Oct-18	Jun-25	Chief Warden
Implement actions from LGIS audit	Jul-18	Jun-25	Coordinator WHS
Security Upgrade (fobs)	Oct-22	Jun-25	Manager Projects & Buildings
Introduce procedures for management of psychological hazards	Oct-22	Jun-25	Manager Human Resources
implement WHS system	Nov-24	Jun-25	Manager Human Resources
Schedule regular communications for where to locate documents and procedures	Nov-24	Jun-25	Coordinator WHS

Manager Human Resources	Yes	Yes	Yes	New WHS strategy/communication plan. WHS management plan completed. Review of safe work procedures 50% complete.
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Status of Actions	Comments
Aug 2020: on hold until all evacuation plans completed. Amend due date from Dec 2019. 30/06/2021: Audit of Warden's training requirements undertaken. Warden's training booked in. Most centres completed, awaiting Home Care following refurbishment of centre. Oct 2024: Drill schedule nearing completion	
16/12/2019: amend due date from Dec 2019 - see D18/4589 for details on outstanding items. 30/06/2021: OSH planning being developed at highest levels to ensure this is an ongoing improvement in the risk management systems. Review of objectives and targets at OSH Committee, further investigation with other LG's about effective benchmark targets. Registration of all applicable plant and equipment (pressure vessels) are completed. Training needs in development with new part time HR officer. Of the 10 required actions, 7/10 are 90% completed. Two action items completed. One action item not as yet commenced. Training needs Analysis and information from Asset management in regards to Contractors is not available as yet. 03/02/2022: amend due date from Dec 2021. Some items outstanding, emergency management & training analysis. 05/09/2022: Some emergency response plans to be completed - estimated completion Dec. Training through RTO in discussion about training needs and requirements (HR). Audit action plan (D20/6486) Oct 2024: ongoing	Barry advised that this should be transferred to Safety Officer responsibility.
Oct 2024: Operating procedure needs to be drafted	
Oct 2024: Information has been gathered and development of psychological hazards SWP to be developed in 2025.	
Proposal with EMT for approval. Commencement January.	

Communicate the emergency plans for each work site with all staff	Nov-24	Jun-25	Coordinator WHS
Review site inductions	Nov-24	Jun-25	WHS Admin and Training Officer
develop and follow consistent procedures for investigations to resolve in reasonable timeframes	Nov-24	Jun-25	Coordinator WHS

Consequence Category	Risk Ratings	Rating
Health	Consequence:	Major (4)
	Likelihood:	Unlikely (2)
	Overall Risk Ratings:	Moderate

new WHS Admin and Training Officer completing these on daily basis.	

Supplier / Contract management

Risk Context

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

This also includes:

- Concentration issues (contracts awarded to one supplier)
- Vendor sustainability

Potential causes include:

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

Key Controls	Type	Reviewed Date	Rating
Tender processes	Preventative	Nov-24	Adequate
Procurement processes	Preventative	Nov-24	Adequate
Contract management and review	Preventative	Nov-24	Adequate
Legal advice for complex contracts (to confirm correct drafting of documentation and to prevent unknowingly accepting liability of the contractor or other parties)	Preventative	Nov-24	Adequate
Contract Management training for staff	Preventative	Nov-24	Adequate
Supervision of minor contracts	Preventative	Nov-24	Adequate
Overall Control Ratings:			Adequate

Actions	Date Added	Due Date	Responsibility
Contractor inductions & training in use of Rapid Global	Oct-22	Jun-25	Director Asset Management
Develop procedure for minor contract supervision	Oct-22	Jun-25	Director Asset Management
Review procurement process in line with procure to pay	Nov-24	Dec-25	Manager Financial Services

Consequence Category	Risk Ratings	Rating
Service interruption, Financial	Consequence:	Moderate (3)
	Likelihood:	Unlikely (2)
	Overall Risk Ratings:	Moderate

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
Director Asset Management	Yes	Yes	Yes	
Manager Financial Services	Yes	Yes	Yes	
Director Asset Management	Partial	Yes	Yes	22/10/2020: discussed that no formal audits of contractors are undertaken, however supervisors to complete random spot checks. Still to be progressed.
Director Asset Management	No	Yes	Yes	Undertaken as required.
Director Asset Management	Yes	Yes	Yes	see project/change management profile
Director Asset Management	No	Yes	Yes	

Status of Actions

Status of Actions	Comments
Oct 2024: Contractor management and inductions are constantly being updated. This function has been included as a specific responsibility in the Coordinator Depot position currently being advertised.	
Oct 2024: Not started	

Council Plan Objectives

Risk Context

A source of loss or failure from the pursuit of an unsuccessful business plan.

This includes:

- Poor or uninformed decisions
- Substandard execution of decisions
- Inadequate resource allocation
- Failure to respond to changes in the community

Strategic risk can be classified as either internal or external.

Internal risks arise from variables which can be controlled, such as Human, Technological, Physical and Operational factors.

External risks arise from variables which can be managed but cannot be controlled, such as economics, politics, natural disasters and compliance.

Potential causes include:

Poor or uninformed decisions	Not fully committed to the goal
Not understanding the community	Not having the right people involved
Unrealistic goals	Inadequate resources committed
Unwillingness or inability to change	Poor communications
External factors such as politics or legislative changes	Failure to review the plan
Inability to adapt to changing market conditions	Misalignment between CBP and SCP

Key Controls	Type	Reviewed Date	Rating
Consult with community in accordance with Act under review procedures for Council Plan	Preventative	Nov-24	Effective
Integrated planning annual review with relevant departments	Preventative	Nov-24	Adequate
Council Plan	Preventative	Nov-24	Adequate
Monthly status report on council decisions	Preventative	Nov-24	Adequate
Workforce Plan	Preventative	Nov-24	Effective
EEO and Diversity Plan	Preventative	Nov-24	Effective
Long Term Financial Plan	Preventative	Nov-24	Adequate
Asset Management Plan	Preventative	Nov-24	Adequate
Monthly reporting through Pulse on Council Plan	Preventative/Detective	Nov-24	Adequate
Performance reporting through KPIs	Detective	Nov-24	Adequate
Communicate the vision and strategic objectives to the community	Preventative	Nov-24	Adequate
Inform and consult with Council during review process	Preventative	Nov-24	Effective
Annual Budget aligned with long term financial plan	Preventative	Nov-24	Adequate
Council report items link to Council Plan objectives	Preventative	Nov-24	Effective

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Comments
Coordinator Governance and Corporate Support	Yes	Yes	Yes	
Coordinator Governance and Corporate Support	Yes	Yes	Yes	
Coordinator Governance and Corporate Support	Yes	Yes	Yes	
Executive Assistant	Yes	Yes	Yes	
Manager Human Resources	Yes	Yes	Yes	Workforce plan 2023-2027 in place.
Manager Human Resources	Yes	Yes	Yes	EEO Plan 2023/-2027 in place.
Manager Financial Services	Yes	Yes	Yes	
Manager Asset Planning & Development	Yes	Yes	Yes	Noted this should be inadequate as some haven't been reviewed in some time. Strategic Asset Management Plan is dated 2020, due for review in 2024. Neil advised that some Plans have been reviewed others are still to be reviewed. Schedule of reviews developed to occur on 3 yearly basis.
Coordinator Governance and Corporate Support	Yes	Yes	Yes	New system implemented July 2020. SOP to be reviewed.
Coordinator Governance and Corporate Support	Yes	Yes	Yes	
Manager Marketing and Communications	Yes	Yes	Yes	Relate communications back to Council plan actions.
Coordinator Governance and Corporate Support	Yes	Yes	Yes	
Manager Financial Services	Yes	Yes	Yes	
Executive Assistant	Yes	Yes	Yes	

Revenue Strategy	Preventative	Nov-24	Adequate
CBD Landscape Design	Preventative	Nov-24	Adequate
2050 Cycling Strategy	Preventative	Nov-24	Adequate
Greater Sports Ground Redevelopment Master Plan	Preventative	Nov-24	Adequate
Mountain Bike Feasibility Study	Preventative	Nov-24	Adequate
Town Centre Parking, Traffic and Pedestrian Strategy & Implementation Plan	Preventative	Nov-24	Adequate
Town Centre Revitalisation Master Plan 2015- 2035	Preventative	Nov-24	Adequate
Youth Precinct Final Concept Design	Preventative	Nov-24	Adequate
Footpath & Cycleway Asset Management Plan	Preventative	Nov-24	Adequate
Trails master plan	Preventative	Nov-24	Adequate
Library Strategic Plan	Preventative	Nov-24	Adequate
CCTV Strategy - Public Summary	Preventative	Nov-24	Adequate
Strategic Asset Management Plan	Preventative	Nov-24	Adequate
Community Waste Engagement Plan 2018-2023	Preventative	Nov-24	Adequate
Community Waste Strategy 2018-2023	Preventative	Nov-24	Adequate
Public Health Plan	Preventative	Nov-24	Adequate
Cemetery Master Plan	Preventative	Nov-24	Adequate
Wylie Bay Landfill Closure Plan	Preventative	Nov-24	Adequate
Disability Access and Inclusion Plan	Preventative	Nov-24	Adequate
Local Planning Strategy	Preventative	Nov-24	Adequate
James Street Precinct Plan	Preventative	Nov-24	Adequate
Airport Master Plan	Preventative	Nov-24	Adequate
Economic Development Strategy - Esperance Region	Preventative	Nov-24	Adequate
Tourism Strategy	Preventative	Nov-24	Adequate
Bush Fire Management Plan	Preventative	Nov-24	Adequate
Local Emergency Management Arrangements	Preventative	Nov-24	Adequate
Local Recovery Plan	Preventative	Nov-24	Adequate
Overall Control Ratings:			Adequate

Director Corporate & Community Services	Yes	Yes	Yes	
Director Asset Management	Yes	Yes	Yes	
Director Asset Management	Yes	Yes	Yes	
Director Asset Management	Yes	Yes	Yes	
Director Asset Management	Yes	Yes	Yes	
Director Asset Management	Yes	Yes	Yes	
Director Asset Management	Yes	Yes	Yes	
Manager Economic Development	Yes	Yes	Yes	
Director Asset Management	Yes	Yes	Yes	
Manager Asse Planning & Development	Yes	Yes	Yes	
Director Asset Management	Yes	Yes	Yes	
Manager Recreation & Culture	Yes	Yes	Yes	
Manager Projects & Buildings	Yes	Yes	Yes	
Manager Asset Planning & Development	Yes	Yes	Yes	
Manager Sustainability & Resource Recovery	Yes	Yes	Yes	
Manager Sustainability & Resource Recovery	Yes	Yes	Yes	
Manager Development Services	Yes	Yes	Yes	
Manager Parks & Environment	Yes	Yes	Yes	
Manager Sustainability & Resource Recovery	Yes	Yes	Yes	
Manager Development Services	Yes	Yes	Yes	
Manager Development Services	Yes	Yes	Yes	
Director External Services	Yes	Yes	Yes	
Manager Economic Development	Yes	Yes	Yes	
Manager Economic Development	Yes	Yes	Yes	
Manager Economic Development	Yes	Yes	Yes	
Manager Ranger & Emergency Services	Yes	Yes	Yes	
Manager Ranger & Emergency Services	Yes	Yes	Yes	
Manager Ranger & Emergency Services	Yes	Yes	Yes	

Actions	Date Added	Due Date	Responsibility
Develop SOPs for Governance, corporate reporting and corporate support areas	Jan-21	Dec-25	Coordinator Governance and Corporate Support
Schedule ongoing internal and external communications for Council Plan	Nov-24	Dec-25	Manager Marketing & Communications
Review Asset Management Plans	Nov-24	Dec-25	Manager Asset Planning & Development
Develop IT Strategy	Nov-24	Dec-25	Manager Information Services

Consequence Category	Risk Ratings	Rating
Reputational/Compliance	Consequence:	Minor (2)
	Likelihood:	Unlikely (2)
	Overall Risk Ratings:	Low

Status of Actions	Comments
30/06/2021: progressing when time is available. Update due date from Dec 2021. Oct 2024: Checklists have been created for processing Owners and Occupiers Roll eligibility claims and cancellations. Updates have been made to the Administration Notes document, which provides an overview of all tasks required within our area. SOPs that have been drafted are expected to be finalised in the coming quarter with a focus on creating leasing SOPs to follow. Employee Housing Management Practice has been developed and provided to OMG and EMT for review.	
ongoing - review 3-5 years	

