



SHIRE OF EAST PILBARA

MINUTES

ORDINARY COMMITTEE MEETING

NOTICE IS HEREBY GIVEN that an Ordinary Meeting of the **AUDIT COMMITTEE** will be held, in Council Chambers, Newman, 9:00am, Friday, 22 May, 2020.

Jeremy Edwards
CHIEF EXECUTIVE OFFICER



DISCLAIMER

No responsibility whatsoever is implied or accepted by the Shire of East Pilbara for any act, omission or statement or intimation occurring during Council or Committee Meetings. The Shire of East Pilbara disclaims any liability for any loss whatsoever and howsoever caused arising out of reliance by any person or legal entity on any such act, omission or statement or intimation occurring during Council or Committee Meetings.

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In particular and without derogating any planning application or application of a licence, any statement or intimation of approval made by any member or Officer of the Shire of East Pilbara during the course of any meeting is not intended to be and is not taken as notice of approval from the Shire of East Pilbara.

The Shire of East Pilbara warns that anyone who has any application lodged with the Shire of East Pilbara must obtain and should only rely on

WRITTEN CONFIRMATION

of the outcome of the application and any conditions attaching to the decision made by the Shire of East Pilbara in respect of the application.

Signed: _____
Jeremy Edwards
Chief Executive Officer

AUDIT COMMITTEE

TABLE OF CONTENTS

ITEM	SUBJECT	PAGE NO
1	DECLARATION OF OPENING/ANNOUNCEMENT OF VISITORS.....	1
2	RECORD OF ATTENDANCES/APOLOGIES/LEAVE OF ABSENCE	1
2.1	ATTENDANCES	1
2.2	APOLOGIES	1
2.3	LEAVE OF ABSENCE	1
3	CONFIRMATION OF MINUTES OF PREVIOUS COUNCIL MEETING.....	1
3.1	28 FEBRUARY2020.....	1
4	OFFICER'S REPORTS	2
4.1	FRAUD AND CORRUPTION CONTROL PLAN UPDATE	2
4.2	REGULATION 17 REVIEW - IMPROVEMENT PLAN UPDATE AS AT 30 APRIL 2020	14
4.3	STATUS OF RISK REGISTER, RISK CONTROLS AND ACTIONS	39
4.4	FINANCIAL MANAGEMENT REVIEW 2019 – IMPROVEMENT PLAN STATUS APRIL 2020	72
5	CONFIDENTIAL MATTERS BEHIND CLOSED DOORS	83
6	GENERAL BUSINESS.....	83
7	DATE OF NEXT MEETING	83
8	CLOSURE	83

1 DECLARATION OF OPENING/ANNOUNCEMENT OF VISITORS

The Chair (Anthony Middleton) declared the meeting open at 9:00am.

2 RECORD OF ATTENDANCES/APOLOGIES/LEAVE OF ABSENCE

2.1 ATTENDANCES

Councillors

Geraldine Parsons	Councillor
Anthony Middleton	Councillor
Karen Lockyer	Councillor

Officers

Ms Sian Appleton	Executive Manager Corporate Services
Mrs Kylie Bergmann	Coordinator Governance

Observer

Holly Pleming
Lynne Craigie

2.2 APOLOGIES

Councillor Apologies

Officer Apologies

Mr Jeremy Edwards	Chief Executive Officer
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2.3 LEAVE OF ABSENCE

3 CONFIRMATION OF MINUTES OF PREVIOUS COUNCIL MEETING

3.1 28 FEBRUARY 2020

OFFICER & COMMITTEE RECOMMENDATION

MOVED: Cr Geraldine Parsons, **SECONDED:** Cr Karen Lockyer

THAT the Minutes of the Audit Committee held at Newman on 28 February 2020, be confirmed as a true and correct record of proceedings.

CARRIED UNANIMOUSLY

To be actioned by Mrs Kylie Bergmann, Coordinator Governance

4 OFFICER'S REPORTS

4.1 FRAUD AND CORRUPTION CONTROL PLAN UPDATE

Attachments:	Appendix 1 – Fraud & Corruption Control Plan Status Update
Responsible Officer:	Ms Sian Appleton Executive Manager Corporate Services
Author:	Mrs Kylie Bergmann Coordinator Governance
Location/Address:	N/A
Name of Applicant:	N/A
Author Disclosure of Interest:	Nil

REPORT PURPOSE

To report on the status of the Fraud and Corruption Control Plan.

BACKGROUND

As per the agenda item in the November 2019 Committee meeting, an action plan has been developed following the performance report on Fraud and Corruption control conducted by the Office of the Auditor General.

From this action plan, a Fraud and Corruption Control Improvement Plan was developed and entered into Council's CAMMS Strategic Planning Software for monitoring.

COMMENTS/OPTIONS/DISCUSSIONS

Attached is a copy of the CAMMS reporting document.

Currently, 18 actions are reported on. Of these 89% are on target, with 11% off target. It is expected that all actions will be completed by 31 July 2020.

STATUTORY IMPLICATIONS/REQUIREMENTS

Nil.

POLICY IMPLICATIONS

1.15 Fraud and Corruption Control Policy.

STRATEGIC COMMUNITY PLAN

5: Governance

Demonstrated accountability and corporate governance.

- G1 Provide efficient, accountable and ethical governance.

RISK MANAGEMENT CONSIDERATIONS

Legislative – Low.

Financial – Medium.

FINANCIAL IMPLICATIONS

No financial resource impact.

VOTING REQUIREMENTS

Simple.

OFFICER & COMMITTEE RECOMMENDATION

MOVED: Cr Karen Lockyer,

SECONDED: Cr Geraldine Parsons

That the Audit Committee review and receive the Fraud and Corruption Control Plan update as presented at Appendix 1.

CARRIED UNANIMOUSLY

To be actioned by Mrs Kylie Bergmann, Coordinator Governance

Appendix 1
Fraud & Corruption Control Plan Status
Update



Action and Task Progress Report

Shire of East Pilbara

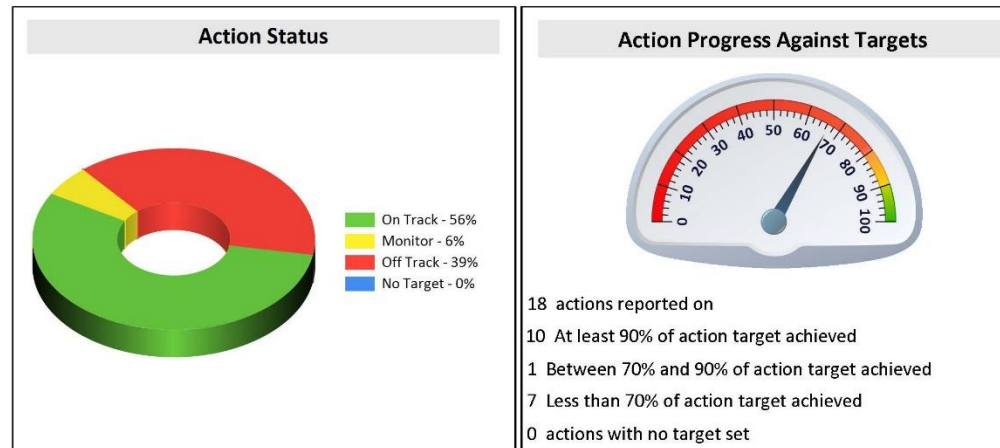


06-May-2020

Print Date: 06-May-2020

www.cammsgroup.com

OVERVIEW



ACTION PLANS



GREEN

At least 90% of action target achieved



AMBER

Between 70% and 90% of action target achieved



RED

Less than 70% of action target achieved



No target set

* Dates have been revised from the Original dates

Commercial Services

Procurement and Contracts

9.1 Procurement

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.112 FR - Develop policies and procedures to verify the identity and integrity of suppliers.	Dawn Ronchi - Contract Procurement Officer	Completed	13-Oct-2019	31-Mar-2020	100.00%	100.00%	GREEN
ACTION PROGRESS COMMENTS: 7/1/20 - New Supplier Requests go through a set process, 1. Check with ABN and ASIC to ensure legitimate business, check if gst registered, request copies of current insurances, and also arrange OHS Induction if required. New Supplier Requests are dealt with by three staff members in three different areas - i.e Contract & Procurement Officer, OHS Officer and then the Finance Officer. 11/2/20 - New Supplier Requests Form updated. Last Updated: 11-Feb-2020							

Corporate Services

Human Resources

10.1 Human Resource Management

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
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Shire of East Pilbara

Action and Task Progress Report

5.1.1.5 FR - Develop a policy / procedure to verify the identity and integrity of employees	Robin Austen - Manager Human Resources	Completed	01-Jul-2019	31-Mar-2020	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: Only item now requiring attention is; Consider any gaps in employment history and reasons for those gaps addressed at interview or prior to appointment. This will be included in Recruitment and Selection Guidelines. The Recruitment and Selection Guidelines have now been updated to include all identity and integrity requirements. Last Updated: 13-Feb-2020							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.97 FR - Establish a regular training program to raise and maintain staff awareness on fraud risks. Maintain records of staff participation in those training programs. Include in training package - Code of Conduct, Records, Fraud and Procurement	Robin Austen - Manager Human Resources	In Progress	01-Oct-2018	31-Dec-2020	30.00%	50.00%	 RED
ACTION PROGRESS COMMENTS: The Shire has access to the training tools provided by the Public Sector Commission for Accountable and Ethical Decision Making. Additionally, WALGA has training modules for managing Conflicts of Interest that have been delivered to Councillors and is available to staff. Assigned to HRO to liaise with WALGA to provide training in the region. This will be scheduled bi-annually. 28/02/2020 - HR/OHS Officer has commenced the process of engaging WALGA to undertake this training with staff. 07/04/2020 - All training on hold due to COVID-19 05/05/2020 - Face to face training on hold. Looking at basic online training. Last Updated: 05-May-2020							

Strategic and Business Planning

2.1 Risk Management and IPR

Shire of East Pilbara

Action and Task Progress Report

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.111 FR - Fraud risks across the organisation are assessed, documents and controls are in place including - Risk Framework - Policy, Procedures, Communication Plan, Risk Register and Controls, Risk Incident Register etc	Sian Appleton - Executive Manager - Corporate Services	In Progress	13-Oct-2019	30-Jun-2020	75.00%	100.00%	 AMBER
ACTION PROGRESS COMMENTS: 08/11/2019 - Fraud Framework completed. CG updating policy and procedures. Fraud improvement plan updated in CAMMS. Working through improvement process. 31/01/2020 - Action plan being implemented, monitored and reported on. Training scheduled for staff in February / March 2020. 30/04/2020 - Due to COVID-19 the staff training has been placed on hold. Training will be completed as soon as practicable Last Updated: 05-May-2020							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.159 FR - Develop and implement a Fraud Risk register and controls.	Sian Appleton - Executive Manager - Corporate Services	In Progress	22-Oct-2019	30-Jun-2020	45.00%	100.00%	 RED
ACTION PROGRESS COMMENTS: 31/10/2019 - Research being undertaken into the development of the Fraud Risk Register. Assessment of these risks will then be undertaken and listing of current controls. Establishment of new controls as necessary will be developed. 31/11/2019 - This work is continuing. 31/01/2020 - This work is continuing and is currently on target to be completed within time frames. 30/04/2020 - The Fraud Register is expected to be completed by 30 June 2020. Last Updated: 05-May-2020							

Customer and Community Services

Customer and Stakeholder Services

14.3 Stakeholder Management - Collective Impact

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
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Shire of East Pilbara

Action and Task Progress Report

5.1.1.4 FR - Communicate fraud and corruption awareness through the Staff Newsletter.	Amanda Curby - Media Relations Officer	Completed	01-Jul-2019	31-Dec-2019	100.00%	100.00%	 GREEN
Last Updated: 22-Oct-2019							

Executive Services

Governance

16.1 Corporate Governance

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.6 FR - Develop a policy outlining the requirements for staff and Councillors when there is an actual or perceived conflict of interest (including interests staff have that may conflict with their daily duties).	Kylie Bergmann - Coordinator Governance	Completed	01-Jul-2019	31-Mar-2020	100.00%	100.00%	 GREEN

ACTION PROGRESS COMMENTS:

10/11/2019 - Completion date has been extended to March 2020. Draft policy will be presented to Corporate Discussion at the February 2020 and for adoption by Council at the March 2020 Council Meeting.

11/02/2020 - Draft policy will be presented to the Audit Committee on 28 February 2020, as well as Corporate Discussion on the same date.

27/03/2020 - Final policy was presented to Council on 27 March 2020, and accepted by Council on that date.

Last Updated: 05-May-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.94 FR and CC - Review the Fraud and Corruption Plan in line with the current schedule - Completed March biannually.	Kylie Bergmann - Coordinator Governance	Not Started	01-Jul-2019	31-Jul-2020	0.00%	100.00%	 RED

ACTION PROGRESS COMMENTS:

10/11/2019 - Review is to be completed in March 2020 in line with current scheduled.

05/05/2020 - Review was not completed in March 2020 due to staff responsibilities being diverted due to the COVID-19 response. Review will be presented to Council in June 2020.

Last Updated: 06-May-2020

Shire of East Pilbara

Action and Task Progress Report

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.95 FR - Ensure that all new employees receive Code of Conduct training in their induction, and annually thereafter. Ensure employees sign off annually their understanding of the code of conduct.	Kylie Bergmann - Coordinator Governance	In Progress	01-Jul-2019	31-Dec-2020	50.00%	50.00%	 GREEN
ACTION PROGRESS COMMENTS: 10/11/2019 - All new employees do currently receive Code of Conduct training. Program to be developed by March 2020 for re-induction of all current employees and Councillors. 11/02/2020 - Coordinator Governance has been in discussion with LG Professionals and Steven Tweedie re. conducting integrity & Code of Conduct Training. To be discussed with HR for a collaborative/whole of organisation approach. 05/05/2020 - Integrity & Code of Conduct Training has been put on hold due to COVID-19 restrictions. However, the Coordinator Governance will be reviewing the Code of Conduct for approval by Council in June 2020. Last Updated: 05-May-2020							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.103 FR - Develop a policy outlining the various avenues on reporting any potential fraud, including anonymous reporting.	Kylie Bergmann - Coordinator Governance	Not Started	01-Jul-2019	31-Jul-2020	0.00%	100.00%	 RED
ACTION PROGRESS COMMENTS: 10/11/2019 - Draft Policy to be presented to Corporate Discussion in February 2020 and for adoption by Council at the March 2020 Council Meeting. 11/02/2020 - Policy requires some further research before it can be presented to Corporate Discussion. Will likely be presented to Corporate Discussion in March 2020 and Council in April 2020. 05/05/2020 - Completion date extended to 31 July 2020 due to staff responsibilities being diverted due to the COVID-19 response. Last Updated: 06-May-2020							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.104 FR - Develop a conflict of disclosure form to go with the Conflict of Interest policy.	Kylie Bergmann - Coordinator Governance	Completed	13-Oct-2019	30-Jun-2020	100.00%	0.00%	 GREEN
ACTION PROGRESS COMMENTS: 10/11/2019 - to be completed by March 2020.							

Shire of East Pilbara

Action and Task Progress Report

11/02/2020 - Draft disclosure form is complete. Will be presented to the Audit Committee (along with the draft policy) on 28 February 2020. Will also be presented to Corporate Discussion on that same date.

05/05/2020 - Form was complete when the Policy was presented to Council at the February Council Meeting.

Last Updated: 05-May-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.105 FR - Develop a conflict of interest register (for staff and Councillors) to record all conflict of interest.	Kylie Bergmann - Coordinator Governance	In Progress	13-Oct-2019	31-Jul-2020	10.00%	100.00%	 RED

ACTION PROGRESS COMMENTS:

10/11/2019 - To be completed by March 2020.

05/05/2020 - In progress.

Last Updated: 05-May-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.106 FR - Prioritise the actions listed within the Fraud & Corruption Control Plan	Jeremy Edwards - Chief Executive Officer	Not Approved	13-Oct-2019	31-Mar-2020	0.00%	0.00%	 GREEN

Last Updated: 13-Oct-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.107 FR - Ensure that an appropriate level of resources is applied to controlling fraud and corruption risk.	Jeremy Edwards - Chief Executive Officer	Not Approved	13-Oct-2019	30-Jun-2020	0.00%	0.00%	 GREEN

Last Updated: 13-Oct-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.108 FR - Staff sign yearly understanding of the Code of Conduct.	Kylie Bergmann - Coordinator Governance	Ongoing	13-Oct-2019	31-Dec-2019	-	0.00%	 GREEN

ACTION PROGRESS COMMENTS:

Shire of East Pilbara

Action and Task Progress Report

10/11/2019 - Program to be implemented by March 2020.
05/05/2020 - Code of Conduct to be reviewed and presented to Council in June 2020. Staff to sign yearly understanding of the Code of Conduct once the reviewed Code of Conduct has been accepted.
Last Updated: 06-May-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.109 FR - Communicate the internal processes and avenues for reporting any potential fraud including anonymous reporting.	Kylie Bergmann - Coordinator Governance	Not Started	13-Oct-2019	31-Jul-2020	0.00%	100.00%	 RED

ACTION PROGRESS COMMENTS:

10/11/2019 - Process to be documented by March 2020.
05/05/2020 - Process to be communicated once the Policy has been finalised.
Last Updated: 05-May-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.110 FR - Develop and implement a Fraud Risk Register to capture, collate and analyse information about potential fraud.	Kylie Bergmann - Coordinator Governance	In Progress	13-Oct-2019	31-Jul-2020	10.00%	100.00%	 RED

ACTION PROGRESS COMMENTS:

10/11/2019 - To be completed by March 2020.
05/05/2020 - Completion date extended to 31 July 2020.
Last Updated: 06-May-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.113 FR - Fraud risks are reported to the Audit Committee quarterly.	Kylie Bergmann - Coordinator Governance	Completed	13-Oct-2019	31-Dec-2019	100.00%	100.00%	 GREEN

Last Updated: 22-Oct-2019

4.2 REGULATION 17 REVIEW - IMPROVEMENT PLAN UPDATE AS AT 30 APRIL 2020

File No:	FIN-21-1
Attachments:	Appendix 1 – CAMMS Regulation 17 Improvement Plan Update – April 2020
Responsible Officer:	Ms Sian Appleton Executive Manager Corporate Services
Author:	Ms Sian Appleton Executive Manager Corporate Services
Location/Address:	N/A
Name of Applicant:	N/A
Author Disclosure of Interest:	Nil

REPORT PURPOSE

To report on the status of the Regulation 17 Review Improvement Plan.

BACKGROUND

Pursuant to the Local Government (Audit) Regulations 1996 (the regulations), Regulation 17 requires that the Chief Executive Officer undertakes a review of the appropriateness and effectiveness of its systems and procedures in regard to Risk Management, Legislative Compliance and Internal Control Frameworks.

Previously reviews of Council's audit systems needed to be carried out every two years. The regulations were revised and gazetted on Tuesday, 26 June 2018 to conduct the review no less than every three years. This means that the Shire of East Pilbara will not be required to complete another review until 2021.

In February 2019 Moore Stephens undertook this review for the CEO and the report was presented to the Audit Committee on the 22nd February 2019 and subsequently at the Ordinary Council Meeting dated 22nd February 2019.

From this report a Regulation 17 Improvement Plan was created and entered into Council's CAMMS Strategic Planning software for monitoring and presentation to the Audit Committee quarterly.

COMMENTS/OPTIONS/DISCUSSIONS

Attached is a copy of the CAMMS reporting document.

Currently there are 42 actions reported on. Of these 100% of the actions are on target, 0% are being monitored and 0% are off track and are being reviewed.

STATUTORY IMPLICATIONS/REQUIREMENTS

Part 7 - Audit (Division 4 - General) 7.13. Regulations as to audits (pg 274)

POLICY IMPLICATIONS

Nil

STRATEGIC COMMUNITY PLAN

5: Governance

Demonstrated accountability and corporate governance.

- G1 Provide efficient, accountable and ethical governance.
 - G1.1 *Enhance governance capability to deliver sustainable outcomes, roads and buildings*

RISK MANAGEMENT CONSIDERATIONS

Reputational - Medium

FINANCIAL IMPLICATIONS

Resource requirements are in accordance with existing budgetary allocation.

VOTING REQUIREMENTS

Simple.

OFFICER & COMMITTEE RECOMMENDATION

MOVED: Cr Geraldine Parsons,

SECONDED: Cr Karen Lockyer

That Council review and receive the CAMMS Regulation 17 Improvement Plan status report as presented at Appendix 1.

CARRIED UNANIMOUSLY

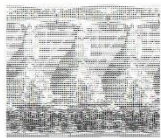
To be actioned by Ms Sian Appleton, Executive Manager Corporate Services

Appendix 1
CAMMS Regulation 17 Improvement Plan
Update – April 2020



Action and Task Progress Report

Shire of East Pilbara

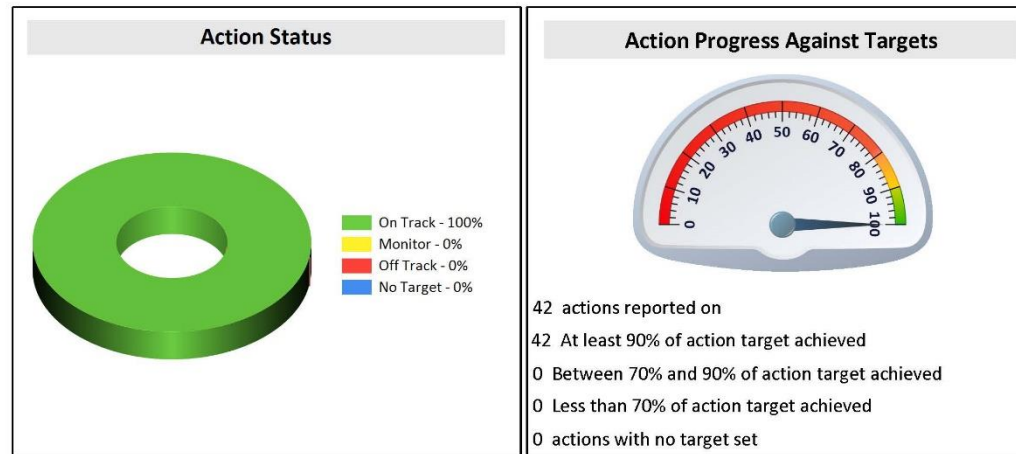


2020-2021

Print Date: 07-May-2020



OVERVIEW



ACTION PLANS



GREEN

At least 90% of action target achieved



AMBER

Between 70% and 90% of action target achieved



RED

Less than 70% of action target achieved



No target set

* Dates have been revised from the Original dates

Commercial Services

Airport Services

6.2 Airport Services

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.37 17D - Risk management practices at the airport should be undertaken in accordance the Shire's Risk Management Policy and procedures. These procedures provide the framework for the rating of identified risk and reporting of risks when identified along with the routine reporting on the status of treated risks. HIGH RISK	Ben Lewis - Executive Manager- Commercial Services	In Progress	17-Feb-2019	31-Dec-2021	75.00%	0.00%	GREEN
ACTION PROGRESS COMMENTS: 8/3/19 - Implementation of shire wide incident and hazard reporting has been rolled out at the airport for all staff and subcontractors. HSE contractor inductions have been undertaken with the majority of the major contractors. This process is utilising the shire wide reporting process. 8/8/19 - The airport is now aligned and using the same processes as the rest of the organisation with the exception of the airport air side operations which are required to be operated under CASA legislation and requirements. There will be some ongoing adjustment and monitoring to be undertaken 5/5/20 - Reporting of hazards and risks for airside operations are to be considered in the Amis database system designed for aerodromes Last Updated: 05-May-2020							

Procurement and Contracts

9.1 Procurement

Shire of East Pilbara

Action and Task Progress Report

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.21 17D - Amend the Policy to provide the following: Purchasing requirements for the renewal or variation of contracts which did not arise from a public tender. HIGH RISK	Dawn Ronchi - Contract Procurement Officer	Completed	17-Feb-2019	31-Dec-2021	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: Policy Updated Last Updated: 22-May-2019							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.29 17D - All procurement of goods or services should be undertaken in accordance with the Procurement Policy and legislative requirements, regardless of the type of service or goods. HIGH RISK	Dawn Ronchi - Contract Procurement Officer	Completed	17-Feb-2019	31-Dec-2021	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: Processes currently under review to ensure all procurement is undertaken in accordance with legislation. 6/8/19 - Internal Auditing Process set up and being undertaken regularly. Last Updated: 06-Aug-2019							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.30 17D -To help ensure probity and fairness when assessing tenders, procedures for the declaration of interests prior to assessing tender should be documented. Purchases over \$150,000 should be subject to the same assessment procedures as those applied to tenders. MEDIUM RISK	Dawn Ronchi - Contract Procurement Officer	Completed	17-Feb-2019	31-Dec-2021	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS:							

Shire of East Pilbara

Action and Task Progress Report

Process updated.

Last Updated: 22-May-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.31 17D - To help support probity and fairness when assessing responses to requests for quotation, the process undertaken should be documented. The process to be followed should require a higher level of probity and due diligence, the higher the value or risk associated with the purchase. MEDIUM RISK	Dawn Ronchi - Contract Procurement Officer	In Progress	17-Feb-2019	31-Dec-2021	50.00%	50.00%	 GREEN

ACTION PROGRESS COMMENTS:

Processes currently under review.

6/8/19, 7/1/20 and 6/5/20 -It is already an internal process that as per the Tender process - the formal RFQ's are evaluated by set criteria and by 3 Panel members, and this has been the case. The process/procedure shall be written more clearly.

Last Updated: 06-May-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.47 17D - To maintain the confidentiality of submissions received values of submissions received be removed from the tender register. MEDIUM RISK	Dawn Ronchi - Contract Procurement Officer	Completed	17-Feb-2019	31-Dec-2021	100.00%	100.00%	 GREEN

ACTION PROGRESS COMMENTS:

Process updated.

Last Updated: 22-May-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
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Shire of East Pilbara

Action and Task Progress Report

5.1.1.59 17D - "Values were entered onto Manual Purchase orders after the goods were received. Purchase orders were issued after receipt of the goods or services"	Dawn Ronchi - Contract Procurement Officer	In Progress	17-Feb-2019	31-Dec-2021	75.00%	50.00%	 GREEN
ACTION PROGRESS COMMENTS: Review of processes and refresher training currently being considered. Finance working with Technical services to abolish manual purchase order books. 6/8/19 & 7/1/20 - Use of manual PO books were ceased mid July 19 with manual PO books returned to Finance. The use of Manual Requisition Books for a small number of remote staff are now in place - this will alleviate Purchase Orders being created without values and/or gl's. Finance and CPO have started to sit with Tech Services staff in a small training session environment. The use of the Req Books is currently being monitored - so have set the Completion level to 50%. 11/2/20 - Manual PO books are now only being used for a small % of purchases. 6/5/20 - as above. Last Updated: 06-May-2020							

9.2 Management of Contracts, Leases and MOU's

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.40 17D - To help ensure all contractors have the relevant licences and have adequate insurance cover for the works they undertake for the Shire, procedures should be developed, and records maintained to ensure copies of contractor's insurances are held on file. HIGH RISK	Dawn Ronchi - Contract Procurement Officer	Completed	17-Feb-2019	31-Dec-2021	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: Process updated. Last Updated: 22-May-2019							

Corporate Services

Business Systems

23.1 Information Communication and Technology

Shire of East Pilbara

Action and Task Progress Report

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.32 17D - We noted limited controls in relation to the access to IT systems both physical access to hardware and network access to software and data. MEDIUM RISK	Sian Appleton - Executive Manager - Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	0.00%	 GREEN

ACTION PROGRESS COMMENTS:

31/07/2019 - Physical access is limited by key entry. This will be replaced by swipe entry over the next few months. EMCS is currently working with consultants to diagramise access map to all network and application information.

13/10/2019 - Physical access now limited to swipe card entry. New form created regarding any new users needed access to network and directories and software.

Last Updated: 14-Oct-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.52 17D - Routine testing of the effectiveness of the Plan through annual system recovery testing be undertaken. HIGH RISK	Sian Appleton - Executive Manager - Corporate Services	In Progress	17-Feb-2019	31-Dec-2021	25.00%	0.00%	 GREEN

ACTION PROGRESS COMMENTS:

30/07/2019 - EMCS working with IT consultant to establish a routine testing regime of data recovery.

08/11/2019 - Waiting on documentation finalisation. EMCS has met with IT consultant to determine timing around testing.

30/04/2020 - Now document in final review stage - data recovery testing will take place over next few months.

Last Updated: 05-May-2020

23.2 Records Management

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.34 17D - Review controls in relation to records to ensure records are maintained in accordance with statutory requirements and the Record Keeping Plan. HIGH RISK	Lisa Davis - Manager Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	0.00%	 GREEN

Shire of East Pilbara

Action and Task Progress Report

ACTION PROGRESS COMMENTS:

09/08/2019 - Senior System Support/ Records Officer appointed in May 2019, position its within the Records Room and monitors records and the logging out process.

Scanning system and barrier installed to Records Room limiting access.

Vital records are now held within the Records Room in locked cabinet.

Last Updated: 09-Aug-2019

Corporate Services

20.1 Financial Services

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.22 17D - Rescind the Policy or alternatively review and amend the policies requiring Financial Statements to be prepared in accordance with Statutory requirements. MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	25.00%	 GREEN

ACTION PROGRESS COMMENTS:

31/07/2019 - Policy updated and presented to Council at the August OCM.

Last Updated: 14-Aug-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.33 17D - Given the high value of fees and charges in relation to the airport operations routine documented verification of the accuracy of fees and charges raised should be undertaken. MEDIUM RISK	Lisa Davis - Manager Corporate Services	In Progress	17-Feb-2019	31-Dec-2021	51.00%	0.00%	 GREEN

ACTION PROGRESS COMMENTS:

31/07/2019 - Processes being reviewed to determine how fee accuracy can be verified.

08/11/2019 - No further update.

31/01/2020 - No further update.

06/05/2020 - No further update.

Last Updated: 07-May-2020

Shire of East Pilbara

Action and Task Progress Report

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.35 17D - Creation and maintenance of standard checklists may assist in evidencing key points of control and serve as a reminder. Checklists are of assistance in ensuring compliance with repetitive legislative compliance tasks. HIGH RISK	Lisa Davis - Manager Corporate Services	In Progress	17-Feb-2019	31-Dec-2021	50.00%	0.00%	
ACTION PROGRESS COMMENTS: 31/07/2019 - Detailed assessment being first undertaken to determine key areas where checklists are needed. 08/11/2019 - Checklist currently being created. 31/01/2020 - No further update. 07/05/2020 - Work continuing Last Updated: 07-May-2020							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.39 17D - In line with departmental guidelines, all officers issued with credit cards should sign a credit card agreement prior to the issuing of the credit card. Credit cards should physically be maintained by the person in whose name they are issued and credit card details should not be shared with other staff. HIGH RISK	Lisa Davis - Manager Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	100.00%	
ACTION PROGRESS COMMENTS: 31/07/2019 - Credit Card Agreements are now implemented and signed. Whole process still being improved. 08/11/2019 - Procedure and Checklist underway. 31/01/2020 - No further update. Last Updated: 07-May-2020							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %

Shire of East Pilbara

Action and Task Progress Report

5.1.1.41 17D - The list of payments made by the CEO under delegated authority should be presented to Council with only the minimum information required by legislation. HIGH RISK	Lisa Davis - Manager Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	0.00%	 GREEN
ACTION PROGRESS COMMENTS: New process for presentation of creditors to Council complete to ensure compliance with legislative requirements. Last Updated: 22-May-2019							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.42 17D - Prepare the Monthly Statements in accordance with legislative requirements. HIGH RISK	Lisa Davis - Manager Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	0.00%	 GREEN
ACTION PROGRESS COMMENTS: New template introduced for the reporting on the monthly statements to meet legislative compliance. Last Updated: 22-May-2019							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.49 17D - Outstanding items identified within the Financial Management Review be addressed. HIGH RISK	Lisa Davis - Manager Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	0.00%	 GREEN
ACTION PROGRESS COMMENTS: 31/07/2019 - Being dealt with through the update Financial Management Review Last Updated: 14-Aug-2019							

Human Resources

10.1 Human Resource Management

Shire of East Pilbara

Action and Task Progress Report

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.36 17D - In conjunction with, or as an alternative to, the development of documented procedures and checklists, update and development of workflow process diagrams may assist in clearly identifying controls and processes to be followed. MEDIUM RISK	Robin Austen - Manager Human Resources	Completed	17-Feb-2019	31-Dec-2021	100.00%	0.00%	 GREEN
ACTION PROGRESS COMMENTS: Task assigned to both HROs to work on documenting procedures and developing relevant workflow diagrams. Currently Work Instructions exist for the following procedures; - Visio - Create Organisational Chart - Performance appraisals - Letters of Offer - Inductions - Exit Interviews - EEO Plan and Survey - New Starters Checklist - Annual Leave These all need review and workflows created. 05/05/2020 - completed Last Updated: 05-May-2020							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.3.3 17D - Continuing with the development of a staff training matrix to identify staff training needs relevant to their role is important to ensuring it is co-ordinated across the organisation.	Robin Austen - Manager Human Resources	In Progress	17-Feb-2019	31-Dec-2021	80.00%	25.00%	 GREEN
ACTION PROGRESS COMMENTS:							

Shire of East Pilbara

Action and Task Progress Report

31/07/2019 - Currently adding/populating information on all positions for training/certification needs and concurrently linking these to the occupants of the position. This is a VERY slow process.

To date HR has completed the following:

- developed staff register to audit and update training/certification needs
- all new employees have their training/certification needs completed based on their position
- Existing employees - on receipt of their Performance Appraisals the process is completed
- existing employees are being worked through however, this will take some time.

Currently the TNA is 80% completed with a summary of data and its upload to PES outstanding. This is a time consuming process that is scheduled to be completed 28/02/2020

Last Updated: 08-Jan-2020

10.2 Occupational Health and Safety

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.53 17D - OH&S Induction is currently undertaken by the supervisors however; evidence of the induction being undertaken is not available for all employees as a signed 'Induction Completion Form' is not filed on each employee's personnel file. MEDIUM RISK	Robin Austen - Manager Human Resources	In Progress	17-Feb-2019	31-Dec-2021	80.00%	0.00%	 GREEN
ACTION PROGRESS COMMENTS: Manager Human Resources position vacant for six months. Position now filled and processes will be reviewed. The current OHS Induction Completion Form includes acknowledgement of risk assessment and risk matrix information provided in the Induction Presentation. The Shire has recruited for a Coordinator OHS who will be commencing in Feb 2020 and the task of ensuring all staff complete the OHS Induction and have this recorded on their Personnel File will be assigned to the Coordinator to complete. All inductions completed are signed by the new employee and saved on their personnel file. 07/04/2020 - appointment to OHS/HR Coordinator role put on hold due to COVID-19 05/05/2020 - appointment to OHS/HR Coordinator role re-established and offer being made.							

Shire of East Pilbara

Action and Task Progress Report

Last Updated: 05-May-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.56 17D - A risk register be maintained consistent with the entity risk matrix, enabling reporting and review of OH&S risks identified.	Robin Austen - Manager Human Resources	In Progress	17-Feb-2019	31-Dec-2021	5.00%	0.00%	

ACTION PROGRESS COMMENTS:

31/07/2019 - Manager Human Resources position vacant for six months. Position now filled and processes will be reviewed.

The Shire has recruited for a Coordinator OHS who will be commencing in Feb 2020 and the task of ensuring all staff complete the OHS Induction and have this recorded on their Personnel File will be assigned to the Coordinator to complete.

Last Updated: 08-Jan-2020

Strategic and Business Planning

2.1 Risk Management and IPR

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.20 CC & 17D - Review and update the Corporate Business Plan to ensure it remains current. MEDIUM RISK	Sian Appleton - Executive Manager - Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	100.00%	

ACTION PROGRESS COMMENTS:

31/05/2019 - The Corporate Business Plan has been updated and accepted by Council at their OCM 26062019.

The process of updating the Corporate Business Plan annually has been entered into the budget process steps. The CBP will be updated by February every year.

Last Updated: 14-Aug-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
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Shire of East Pilbara

Action and Task Progress Report

5.1.1.24 17D - Given recent staffing changes, update and review the Business Continuity Plan, identify and document key business continuity risks along with the treatments to reduce the risk to an acceptable level. HIGH RISK	Sian Appleton - Executive Manager - Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	0.00%	 GREEN
ACTION PROGRESS COMMENTS: 31/07/2019 - Resources allocated to project. 08/11/2019 - LGIS contacted and will assist in the review of this plan. 30/06/2020 - Business Continuity Plan updated and reviewed. Last Updated: 05-May-2020							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.25 17D and FMR - Review and update the Disaster Recovery Plan, identifying and documenting key ICT risks along with the treatments to reduce the risk to an acceptable level. HIGH RISK	Sian Appleton - Executive Manager - Corporate Services	In Progress	17-Feb-2019	31-Dec-2021	80.00%	0.00%	 GREEN
ACTION PROGRESS COMMENTS: 31/07/2019 - Resources allocated to project. Scope currently being created. Working with our IT consultants regarding the IT portion of the plan. 08/11/2019 - Coordinator IT since resigned. EMCS working with IT consultant to finalise this project. 30/04/2020 - Draft documented completed. In final review stage. Last Updated: 05-May-2020							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.27 17D - Risk management procedures and process require review and updating in accordance with the latest risk management standard (ISO 31000:2018). HIGH RISK	Sian Appleton - Executive Manager - Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: 31/07/2019 - Risk Management procedures and process reviewed internally and sent to LGIS for comment. Final updated documentation due for completion shortly. 08/11/19 - Risk Management Framework, policy and procedures reviewed and updated.							

Shire of East Pilbara

Action and Task Progress Report

Last Updated: 08-Nov-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.44 17D - Prepare the Statutory Budget in accordance with legislative requirements. HIGH RISK	Sian Appleton - Executive Manager - Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	100.00%	 GREEN

ACTION PROGRESS COMMENTS:

New process and template established to ensure compliance.

Last Updated: 22-May-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.45 17D - Maintaining risk registers for all identified risks is important to help ensure significant or high risks are adequately treated. HIGH RISK	Sian Appleton - Executive Manager - Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	100.00%	 GREEN

ACTION PROGRESS COMMENTS:

31/05/2019 - Risk workshops with LGIS organised for June which will result in an updated Risk Register.

31/07/2019 - Risk controls workshops held with LGIS consultant and managers/ exec. Final updating of controls underway and once completed will be entered into CAMMS risk module for actions and monitoring.

31/10/2019 - All new risks entered into software for monitoring. Review of old risks still to take place to gauge their ongoing relevancy.

31/01/2020 - Risk register up to date. Ongoing training for staff is being provided.

Last Updated: 13-Feb-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.50 17D - Risk management procedures implemented uniformly across the organisation. HIGH RISK	Sian Appleton - Executive Manager - Corporate Services	In Progress	17-Feb-2019	31-Dec-2021	50.00%	0.00%	 GREEN

ACTION PROGRESS COMMENTS:

31/05/2019 - Risk Management processes currently being review and will then be rolled out to whole organisation.

Shire of East Pilbara

Action and Task Progress Report

31/07/2019 - Particular focus on bringing the airport risk process in line with organisational processes.
08/11/19 - Update of risk process and documentation completed. Roll out to entire organisation is currently in planning.
Last Updated: 02-Dec-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.51 17D - A central risk register routinely maintained as required by the Policy. HIGH RISK	Sian Appleton - Executive Manager - Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	100.00%	 GREEN

ACTION PROGRESS COMMENTS:

31/05/2019 - A central register is maintained and is currently being updated.

Last Updated: 14-Aug-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.54 17D - A single entity-wide Risk Register of identified risks be maintained, with key organisational risks identified and residual risk levels assessed and recorded. MEDIUM RISK	Sian Appleton - Executive Manager - Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	100.00%	 GREEN

ACTION PROGRESS COMMENTS:

31/07/19 - All Risk Management processes currently under review.

08/11/19 - Risk management documentation review completed. Controls have been reviewed this year and will be entered into CAMMS Risk Module for reporting.

Last Updated: 08-Nov-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.57 17D - Management continue to monitor the risk register and discuss any identified risk matters in their meetings.	Sian Appleton - Executive Manager - Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	0.00%	 GREEN

ACTION PROGRESS COMMENTS:

Shire of East Pilbara

Action and Task Progress Report

31/07/2019 - On Executive Team meeting agenda. Ongoing action.

Last Updated: 14-Aug-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.58 17D - The improvements detailed within this report be adopted as an Improvement Plan to progress risk management at the Shire. MEDIUM RISK	Sian Appleton - Executive Manager - Corporate Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	0.00%	 GREEN

ACTION PROGRESS COMMENTS:

Risk Improvement plan now entered into CAMMS software and reported to the Audit Committee and Council quarterly.

Last Updated: 22-May-2019

Executive Services

Governance

16.1 Corporate Governance

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.23 17D - Following review of Policies by Council, update the latest Review/Amendment Date on the Policy to provide an accurate record of when the Policy was reviewed. MEDIUM RISK	Kylie Bergmann - Coordinator Governance	Completed	17-Feb-2019	31-Dec-2021	100.00%	0.00%	 GREEN

ACTION PROGRESS COMMENTS:

New process implemented to provide accurate record of policy review.

Last Updated: 22-May-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
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Shire of East Pilbara

Action and Task Progress Report

5.1.1.28 17D - Establish process for the development, review, amendment and authorisation of procedures, checklists and other internal control documentation, to assist with managing changes to procedures. HIGH RISK	Kylie Bergmann - Coordinator Governance	In Progress	17-Feb-2019	31-Dec-2021	15.00%	0.00%	 GREEN
ACTION PROGRESS COMMENTS: Processes currently being reviewed. 10/11/2019 - Process is still to be reviewed. Last Updated: 10-Nov-2019							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.43 17D - Residual risks following a Council decision should be evaluated and recorded as required by the risk management framework. MEDIUM RISK	Kylie Bergmann - Coordinator Governance	Completed	17-Feb-2019	31-Dec-2021	100.00%	75.00%	 GREEN
ACTION PROGRESS COMMENTS: 31/07/2019 - Processes currently being reviewed. 10/11/2019 - Process is still to be reviewed. 06/05/2020 - Risk consideration and Residual Risk has been included within the Council Resolutions Register to be assessed by Officers and reported back to Council. Last Updated: 06-May-2020							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.46 17D - Maintain a gift register on the Shire's website in accordance with legislative requirements. HIGH RISK	Kylie Bergmann - Coordinator Governance	Completed	17-Feb-2019	31-Dec-2021	100.00%	0.00%	 GREEN
ACTION PROGRESS COMMENTS: The gift register is maintained through the ATTAIN online compliance system. We now have a process in place to ensure that the register is downloaded once a month and uploaded to the website. Last Updated: 05-Aug-2019							

Shire of East Pilbara

Action and Task Progress Report

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.48 17D - To confirm adherence to documented policies and procedures and assist in the identification of internal control weaknesses an internal audit function is required to be established. MEDIUM RISK	Kylie Bergmann - Coordinator Governance	In Progress	17-Feb-2019	31-Dec-2021	5.00%	0.00%	
ACTION PROGRESS COMMENTS: Process to establish internal auditing function currently being investigated. 10/11/2019 - Internal Audit function requires additional resourcing and is currently being investigated. Last Updated: 10-Nov-2019							

Infrastructure Services

Project and Asset Management

11.2 Asset Management

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.26 CBP and 17D - Update and finalise asset management plans and present to Council for adoption. MEDIUM RISK Treatment Plans identified within asset management plans be monitored to ensure risks are reduced to an acceptable level. MEDIUM RISK	Lindon Mellor- Manager Projects & Assets	Ongoing	17-Feb-2019	31-Dec-2021	-	0.00%	
ACTION PROGRESS COMMENTS: 08/08/2019 - Risk treatment will form part of the asset management plans. Draft asset management plans are being progressed for roads, parks and gardens and WWTP assets. As these are finalised they will be presented to council for adoption/consideration however resourcing constraints and priority being given to project delivery is taking away from asset management planning 10/09/2019 - asset planning has not been given priority due to project resourcing constraints. No further development 07/10/2019 - asset planning has not been given priority due to project resourcing constraints. No further development							

Shire of East Pilbara

Action and Task Progress Report

05/11/2019 - asset planning has not been given priority due to project resourcing constraints. No further development

28/11/2019 - concise asset management plans will be developed during the second half of the 19/20 financial year for various infrastructure classes

Last Updated: 28-Nov-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.55 17D - Treatment Plans identified within asset management plans be monitored to ensure risks are reduced to an acceptable level. MEDIUM RISK	Raees Rasool - Executive Manager Infrastructure Services	Completed	17-Feb-2019	31-Dec-2021	100.00%	0.00%	 GREEN

ACTION PROGRESS COMMENTS:

Risk Assessments undertaken in accordance with ISO31000:2009 are included within the Asset Management Plans. Whilst the assessments appear appropriate the basis for the various ratings are not apparent. No subsequent reporting on effectiveness of the treatment Plans in reducing risk has been undertaken.

08/08/2019 - Risk treatment will form part of the asset management plans and so further reporting is not required

Last Updated: 08-Aug-2019

Waste Management

21.1 Landfill Management

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
4.2.1.2 17D - Undertake risk assessments in relation to each of the potentially contaminated sites and identify appropriate treatment plans. HIGH RISK	Bwalya Chilufya - Environmental Health Officer	In Progress	17-Feb-2019	31-Dec-2021	10.00%	0.00%	 GREEN

ACTION PROGRESS COMMENTS:

31/05/2019 Several contaminated sites exist within Shire properties. The extent of contamination and risks associated with these sites is to be determined.
Initial steps taken to scope detail of risk assessments.

Last Updated: 05-Aug-2019

Shire of East Pilbara

Action and Task Progress Report

21.2 Waste Collection and Recycling

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.38 17D - Undertake a detailed review of all controls in relation to the waste facility. In particular, if possible, remove or significantly reduce the potential amount of cash received at the waste facility, through use of pre-purchased vouchers etc. Should cash continue to be accepted, appropriate procedures and controls are required. MEDIUM RISK	Raees Rasool - Executive Manager Infrastructure Services	Deferred	17-Feb-2019	31-Dec-2021	2.00%	0.00%	
ACTION PROGRESS COMMENTS: Project will be deferred until a new manager of waste services and a graduate engineer can be engaged 16/05/2019 - Project is still deferred, however staff have commenced work on a waste management plan which will highlight how we can improve the facility. In combination with the new manager of waste services and a graduate engineer this will provide the necessary resources to scope and review the facility with the view of increasing operational revenue from liquid waste. Waste Manager position has been advertised and the EMIS is liaising with universities to sell the graduate opportunity. Advertising for the graduate engineering role is planned to occur around June/July of 2019 10/06/2019 - Graduate role applications close on the 1st July 2019. Interviews for Manager of Waste completed with a view to commence in July 08/08/2019 - Manager of Waste Services commenced on the 29th of July 2019 and is finalizing a waste management plan for council to review as part of the september meeting. Graduate role interviews were undertaken. 153 applicants applied and the successful candidate has accepted their offer. Graduate is due to commence in September 2019. 10/09/2019 - Graduate Engineer Waste Services commenced on the 2nd of September and is working alongside the Manager of Waste (MoW) regarding management of the landfill site. This is largely in a project and operational space with respect to RFQ's for fencing and a flow meter being advertised, improvements to the liquid waste facility, submitting for the CDS scheme, investigating recycling and reviewing waste streams like mulch. With limited resources improving cash handling at the site is not a priority. 20/07/2019 - Due to competing priorities, this project has not been given priority as work is being as above. 05/11/2019 - No further update 05/11/2019 - No further update. 10/02/2020 - There will be no further updates for the 19/20 financial year							

Last Updated: 10-Feb-2020

4.3 STATUS OF RISK REGISTER, RISK CONTROLS AND ACTIONS

File No:	GOV-2-1
Attachments:	Appendix 1 – Risk Status Report Appendix 2 – Risk Control Overview Report
Responsible Officer:	Ms Sian Appleton Executive Manager Corporate Services
Author:	Ms Sian Appleton Executive Manager Corporate Services
Location/Address:	N/A
Name of Applicant:	N/A
Author Disclosure of Interest:	Nil

REPORT PURPOSE

To present the status of the Council's risk register, risk controls and risk actions.

BACKGROUND

Pursuant to Regulation 17 of the *Local Government (Audit) regulations 1996*, the Chief Executive Officer is to review the Shire's systems and procedures in relation to risk management, internal control and legislative compliance, at least every 2 years. In 2019, the Shire engaged Moore Stephens to undertake this review.

One of the improvements suggested by Moore Stephens is that the Audit Committee receive quarterly reports of identified high and extreme strategic and operational risks.

At the 22 November 2019 the Audit committee was presented with the updated Risk Control Report. From this report additional actions have been identified to further mitigate the 16 identified corporate risks and these are also reported on.

COMMENTS/OPTIONS/DISCUSSIONS

The presented reports show the following.

1. Risk Status report showing -
 - Inherent, current and future risk on each of the 16 risk profiles
 - Further risk actions and the status and progress comments of each action.
2. Risk Control Overview Report showing –
 - All current controls against Risk Profiles

STATUTORY IMPLICATIONS/REQUIREMENTS

Regulation 17 of the *Local Government (Audit) Regulations 1996*.

POLICY IMPLICATIONS

Risk Management Policy

STRATEGIC COMMUNITY PLAN

5: Governance

Demonstrated accountability and corporate governance.

- G1 Provide efficient, accountable and ethical governance.
 - G1.1 *Enhance governance capability to deliver sustainable outcomes, roads and buildings.*

RISK MANAGEMENT CONSIDERATIONS

Reputational - Medium

FINANCIAL IMPLICATIONS

Resource requirements are in accordance with existing budgetary allocation.

VOTING REQUIREMENTS

Simple.

OFFICER & COMMITTEE RECOMMENDATION

MOVED: Cr Geraldine Parsons, **SECONDED:** Cr Karen Lockyer

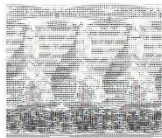
That Council review and receive the CAMMS Risk Status Report and Risk Control Overview Report as presented in Appendix 1 & 2.

CARRIED UNANIMOUSLY

To be actioned by Ms Sian Appleton, Executive Manager Corporate Services

Appendix 1

Risk Status Report



SHIRE OF EAST PILBARA

Risk Status Report

Shire of East Pilbara

camms**risk**

Print Date: 07-May-2020

cammsrisk.com

Shire of East Pilbara			Risk Status Report
CR-100 Misconduct			
Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Minor	Moderate
	Likelihood	Possible	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Minor	Low
	Likelihood	Unlikely	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Minor	Low
	Likelihood	Unlikely	

Effectiveness of Controls: Satisfactory

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Annual Review Authorisation and Delegations Manual	Kylie Bergmann	01-07-2019	30-04-2020	05/05/2020 - Annual review of Delegations Manual has commenced. The review is usually presented to Council in June each year. However, this will be pushed out to July to coincide with the review of delegations relating to the COVID-19 relief package.	10%	
Batch Authority Report	Lisa Davis	01-07-2019	30-06-2020		100%	
Change of Bank Account Detail Forms	Lisa Davis	01-07-2019	30-06-2020		100%	
Credit Card Authority Form / Policy / Agreements	Lisa Davis	01-07-2019	30-06-2020		100%	
New Creditor Form	Lisa Davis	01-07-2019	30-06-2020		100%	
Retrospective PO forms	Lisa Davis	01-07-2019	30-06-2020		100%	
Review of Code of Conduct Annually	Kylie Bergmann	01-11-2019	29-05-2020	05/05/2020 - Review of Code of Conduct has commenced. The review will be presented to Council in June 2020.	10%	

Shire of East Pilbara					Risk Status Report	
Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Review Procurement Process Annually	Dawn Ronchi	01-07-2019	30-06-2020	7/1/20 - Noting any highlighted issues that come to light through the internal auditing of POs process - and if Policy needs updating as a result with update the Policy prior to the end of the financial year when the Policy Manual is submitted for adoption. Presently no changes required, other than removal of "PO book being utilized" to reflect that PO books are no longer used and POs are raised electronically. 11/2/20 - As above - only change to be made in Policy. 6/5/20 - Policy changed with above items, and the changes due to the COVID-19 circumstances. New threshold amounts included in Policy.	100%	06-05-2020
Work Instructions	Lisa Davis	01-07-2019	30-06-2020		100%	

Shire of East Pilbara

Risk Status Report

CR102 Providing Inaccurate Advice / Information

Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Major	High
	Likelihood	Possible	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Major	Moderate
	Likelihood	Unlikely	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Major	Moderate
	Likelihood	Unlikely	

Shire of East Pilbara			Risk Status Report
CR103 Environmental Management			
Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	High
	Likelihood	Likely	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	High
	Likelihood	Likely	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	

Effectiveness of Controls: Weak

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Review operating arrangement for the Landfill sites at Nullagine and Marble Bar	Oliver Schaefer	31-05-2018	30-06-2020		10%	
Waste Water Treatment Plan	Mridula Maharaj	01-07-2019	30-06-2020	The scope for the Environmental Impact Assessment of the Newman Wastewater Treatment Plant is in progress. A meeting with the relevant Executive members is on 13th February 2020. Also, the proposed upgrade works are still in its planning stages.	10%	

Shire of East Pilbara

Risk Status Report

CR104Errors, Omissions and Delays

Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	

Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	

Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	

Effectiveness of Controls: Satisfactory

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion
				Progress Comments	% Complete	Date
Identify and develop document procedures where relevant for Technical Services	Raees Rasool	01-08-2019	30-06-2020	This is an ongoing action that occurs as part of day to day business	0%	

Shire of East Pilbara			Risk Status Report
CR105 External Theft and Fraud			
Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	High
	Likelihood	Likely	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	High
	Likelihood	Likely	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	

Effectiveness of Controls: Some Weaknesses

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Finalise community Safety Plan and have endorsed by Council	Brent Stein	31-05-2018	30-06-2020	Awaiting completion of BHP Crime Prevention Project to enable the Shire to assess its current infrastructure and services.	10%	
Review of CCTV coverage	Brent Stein	01-07-2019	30-04-2020	Planning currently underway in conjunction with BHP crime prevention project. CCTV currently set up in the below cash exchange locations: Newman Administration Newman Recreation Centre	1%	

Shire of East Pilbara			Risk Status Report
CR-106 Fulfilling Statutory, Regulatory or Compliance Requirements			
Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Compliance Calendar to be entered into CAMMS and tabled monthly at EMT meeting	Sian Appleton	01-11-2019	29-05-2020	11/02/2020 - Partly entered. Will be completed by end of March and reporting will then begin. 30/04/2020 - Compliance Calendar work continuing.	30%	
Review Changes to current Privacy Act	Kylie Bergmann	03-07-2018	12-09-2018		100%	12-09-2018
Work Instruction for the updating of the Compliance Calendar to be completed	Kylie Bergmann	01-11-2019	29-05-2020	05/05/2020 - To be completed by the end of May 2020.	1%	

Shire of East Pilbara			Risk Status Report
CR-107 Employment Practices			
Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	

Effectiveness of Controls: Some Weaknesses

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Implement HR Module with synergy (training component)	Robin Austen	31-05-2018	28-06-2019		10%	
Major HR Policy Review	Robin Austen	03-06-2019	30-06-2020	05/05/2020 - delayed appointment of the OHS/HR Coordinator has delayed this project. Requires extension of end date to 31/12/2020.	10%	
Review Induction process to consider follow up sessions	Robin Austen	31-05-2018	31-03-2020		0%	
Review Performance Review Process	Robin Austen	31-05-2018	30-06-2020		50%	
Review Strategic Workforce Plan	Robin Austen	01-07-2019	30-04-2020	Document draft complete 05/05/2020 - document reviewed and minor amendment required	90%	31-01-2019

Shire of East Pilbara			Risk Status Report
CR-108 Safety and Security Practices			
Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	High
	Likelihood	Likely	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	High
	Likelihood	Likely	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	High
	Likelihood	Likely	

Effectiveness of Controls: Some Weaknesses

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Arrange for Audit 4801 to be completed	Robin Austen	03-06-2019	30-06-2020	05/05/2020 - development of scope and actioning is delayed due to COVID-19.	10%	
Formalise Contractor Management / Induction Process	Ben Lewis	30-05-2018	28-06-2019		100%	31-01-2019
Identify and train wardens	Robin Austen	31-05-2018	15-03-2019		100%	15-03-2019
Investigate water monitoring controls for Cape Keraudren water bore	Vacant - Manager Development - Health	31-05-2018	31-03-2020	UV System installed Monitoring schedule to be determined within resource capability	10%	
Review and improve Incident Management Process	Robin Austen	01-07-2019	30-06-2020	05/05/2020 - no further progress	75%	

Shire of East Pilbara			Risk Status Report
CR-109 Business and Community disruption			
Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Catastrophic	Moderate
	Likelihood	Rare	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Catastrophic	Moderate
	Likelihood	Rare	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Catastrophic	Moderate
	Likelihood	Rare	

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Continue Skills Training (Staff)	Robin Austen	31-05-2018	28-06-2019		10%	
Continue Skills Training (volunteers)	Brent Stein	31-05-2018	28-06-2019	Volunteers are provided continuous training through the DFES training matrix	100%	08-07-2019
Develop internal BCM procedures and complete desktop exercise	Sian Appleton	28-02-2020	01-06-2021	Recovery Exercise conducted with shire staff and key stakeholders in July 2019 - Training and exercise facilitate by WALGA.	100%	
Develop internal BCM procedures and complete desktop scenario exercise (IT)	Sian Appleton	01-07-2019	30-06-2020	BCM Plan updated and tested during COVID-19 pandemic	100%	07-05-2020
Review Business Continuity Framework	Sian Appleton	01-11-2019	29-05-2020	BCM Plan updated 2020 and process in place for annual review	100%	07-05-2020
Review current LEMC Plans	Brent Stein	31-05-2018	31-03-2020	Local Recovery Plan to be finalised and endorsed before December 2019	60%	

Shire of East Pilbara		Risk Status Report	
CR-110 IT &/or Communication Systems and Infrastructure			
Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Low
	Likelihood	Rare	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Low
	Likelihood	Rare	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Low
	Likelihood	Rare	

Shire of East Pilbara			Risk Status Report
CR-111 Document Management Processes			
Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	High
	Likelihood	Likely	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	

Effectiveness of Controls: Some Weaknesses

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Award Tender Archive Shed	Lisa Davis	30-05-2018	01-07-2018		100%	
Develop a formalised review process for procedures	Sian Appleton	30-05-2018	28-06-2019		100%	
Develop a process for tracking activities completed for Work Crews	Vacant - Manager Technical Services Newman	30-05-2018	28-06-2019		10%	
Develop and implement a document / version control process	Lisa Davis	30-05-2018	30-06-2020		50%	
Refresher on requirement to record (log) email correspondence	Lisa Davis	30-05-2018	30-06-2020		1%	
Revisit Style Guide and create templates for employee use (NB: templates to be available in Word / Powerpoint / Excel)	Amanda Curby	30-05-2018	30-06-2020		10%	

Shire of East Pilbara			Risk Status Report
CR-112 Asset Sustainability Practices			
Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Unlikely	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Unlikely	

Effectiveness of Controls: Weak

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Annual review of Building Asset Management Plans	Lindon Mellor	01-11-2019	31-03-2020	Initial revisions started	1%	
Develop levels of service for various assets (demonstrating value for money /community expectations)	Lindon Mellor	30-05-2018	30-06-2019		75%	
Ensure all shire owned lights and recycled water mains are included in asset register	Raees Rasool	30-05-2018	26-05-2020		100%	12-02-2020
Ensure vehicle management processes are covered in induction process (new/existing staff)	Oliver Schaer	30-05-2018	28-06-2019		0%	
Implement Asset Management System for Buildings and Residences	Lindon Mellor	30-05-2018	30-06-2019	8/8/19 - Implementation of the asset management strategy is ongoing. Routine inspections and conditions assessments are being undertaken for all built infrastructure and works budgeted and tendered accordingly. New Capex works have been approved in the 2019/20 annual budget and the scopes are being finalised so tenders can be advertised in the coming weeks	75%	
Review Asset management Plans to ensure consistency and alignment with LTFP	Lindon Mellor	30-05-2018	30-06-2020		50%	

Shire of East Pilbara

Risk Status Report

CR-113 Inadequate Engagement Practices

Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	
	Likelihood	Possible	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	
	Likelihood	Unlikely	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	
	Likelihood	Unlikely	

Effectiveness of Controls: Some Weaknesses

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Develop communication policy	Amanda Curby	30-05-2018	30-06-2020		75%	
Restrict access to Facebook	Amanda Curby	30-05-2018	31-03-2020		10%	

Shire of East Pilbara

Risk Status Report

CR-114Project / Change Management

Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Major	High
	Likelihood	Possible	

Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Major	Moderate
	Likelihood	Unlikely	

Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Major	Moderate
	Likelihood	Unlikely	

Effectiveness of Controls: Some Weaknesses

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion
				Progress Comments	% Complete	Date
Formalise the internal Project Management Methodology (Procedures and Reporting)	Vacant - Manager Contracts & Procurement	30-05-2018	31-03-2020		10%	

Shire of East Pilbara			Risk Status Report
CR-115 Management of Facilities / Venues / Events			
Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Possible	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Unlikely	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Unlikely	

Effectiveness of Controls: Some Weaknesses

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Assess liability risks associated with fitness Centre (24 hour access) and determine response	Jack Little	30-05-2018	28-06-2019		100%	12-02-2020
Formalise annual audits of venues, facilities and equipment	Jack Little	30-05-2018	30-06-2020		10%	
Implement training and recruitment procedures to secure qualified staff	Robin Austen	30-05-2018	30-06-2020	See Guidelines for both Learning and Development and Recruitment in Shire folders	99%	

Shire of East Pilbara			Risk Status Report
CR-116 Supplier / Contract Management			
Inherent Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Major	High
	Likelihood	Possible	
Revised Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Unlikely	
Target Assessment	Risk Rating Criteria	Value	Risk Rating
	Consequence	Moderate	Moderate
	Likelihood	Unlikely	

Effectiveness of Controls: Weak

Solutions	Responsible Officer	Start Date	End Date	Current Status Report		Completion Date
				Progress Comments	% Complete	
Conduct Evaluation Training to relevant officers	Vacant - Manager Contracts & Procurement	30-05-2018	30-06-2020		0%	
Conduct refresher procurement training to relevant officers	Vacant - Manager Contracts & Procurement	30-05-2018	28-06-2019		0%	
Review components of cleaning contract prior to formal re-tender	Vacant - Manager Contracts & Procurement	30-05-2018	28-06-2019		100%	12-09-2018

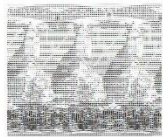


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Appendix 2

Risk Control Overview Report



Risk Controls Overview Report

Shire of East Pilbara

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Print Date: 07-May-2020

Risk Code	Risk Title	Control Name	Control Owner	Owner Rating	Last Review Date	Next Review Date
CR-100	Misconduct	Accounts Payable Process	Lisa Davis - Manager Corporate Services	Adequate	01/07/2019	01/07/2020
CR-100	Misconduct	Authorisations and Delegations Manual	Kylie Bergmann - Coordinator Governance	Adequate	01/07/2019	01/07/2020
CR-100	Misconduct	Elected Member Code of Conduct	Kylie Bergmann - Coordinator Governance	Adequate	01/11/2019	01/06/2020
CR-100	Misconduct	Governance Software - Attain	Kylie Bergmann - Coordinator Governance	Effective	01/08/2019	01/07/2020
CR-100	Misconduct	Internal Financial Control	Lisa Davis - Manager Corporate Services	Adequate	01/11/2019	01/07/2020
CR-100	Misconduct	IT Policy and Guidelines	Sian Appleton - Executive Manager - Corporate Services	Adequate	01/07/2019	01/07/2020
CR-100	Misconduct	Procurement and Requisition Process	Vacant - Manager Contracts & Procurement - Manager Contracts and Procurement	Adequate	01/07/2019	01/07/2020
CR-100	Misconduct	Tender and Procurement Policy	Vacant - Manager Contracts & Procurement - Manager Contracts and Procurement	Adequate	01/07/2019	01/07/2020
CR102	Providing Inaccurate Advice / Information	Community Feedback Process (Synergysoft CSR)	Suzy Jones - Customer Services Officer	Effective	01/08/2019	01/07/2020
CR102	Providing Inaccurate Advice / Information	Industry Qualification / Network Groups	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR102	Providing Inaccurate Advice / Information	Information / Application Forms	Lisa Davis - Manager Corporate Services	Adequate	01/07/2019	01/07/2020

Risk Code	Risk Title	Control Name	Control Owner	Owner Rating	Last Review Date	Next Review Date
CR102	Providing Inaccurate Advice / Information	Qualified / Trained Staff	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR102	Providing Inaccurate Advice / Information	Website Content Management	Lisa Clack - Executive Manager - Customer and Community Services	Adequate	01/11/2019	01/07/2020
CR103	Environmental Management	Disease Control Program	Vacant - Manager Development - Health - Development Services - Health	Effective	01/11/2019	01/07/2020
CR103	Environmental Management	Food Safety Program	Vacant - Manager Development - Health - Development Services - Health	Effective	01/11/2019	01/07/2020
CR103	Environmental Management	Landfill / Waste Management Plans and Processes	Hope Iyamu - Manager Waste Services	Adequate	01/11/2019	01/07/2020
CR103	Environmental Management	Monitoring Bores at Landfill Sites	Hope Iyamu - Manager Waste Services	Effective	01/07/2019	01/07/2020
CR103	Environmental Management	Planning Application Process	David Everett - Manager Development Services - Building	Effective	01/07/2019	01/07/2020
CR103	Environmental Management	Supervision at Landfill Sites (Newman)	Hope Iyamu - Manager Waste Services	Adequate	01/07/2019	01/07/2020
CR103	Environmental Management	Tip Site Septage Ponds Monitoring Process	Hope Iyamu - Manager Waste Services	Adequate	01/07/2019	01/07/2020
CR103	Environmental Management	Waste Water Treatment Process	Mridula Maharaj - Senior Projects Manager	Adequate	01/07/2019	01/07/2020
CR103	Environmental Management	Water Quality Management	Vacant - Manager Development - Health - Development Services - Health	Effective	01/11/2019	01/07/2020

Risk Code	Risk Title	Control Name	Control Owner	Owner Rating	Last Review Date	Next Review Date
CR104	Errors, Omissions and Delays	Building Assessment Process	David Evrett - Manager Development Services - Building	Adequate	01/08/2019	31/07/2020
CR104	Errors, Omissions and Delays	Customer Action Request Process	Lisa Davis - Manager Corporate Services	Effective	01/11/2019	01/07/2020
CR104	Errors, Omissions and Delays	Documented Procedures and Checklists	Lisa Davis - Manager Corporate Services	Adequate	01/08/2019	30/06/2020
CR104	Errors, Omissions and Delays	Feedback / Work Request Process	Suzy Jones - Customer Services Officer	Adequate	01/08/2019	01/07/2020
CR104	Errors, Omissions and Delays	Planning / Building Statutory Processes	David Evrett - Manager Development Services - Building	Effective	01/07/2019	01/07/2020
CR104	Errors, Omissions and Delays	Rates Modelling and Billing	Vacant - Rates Revenue Officer - Rates Revenue Finance Officer	Adequate	01/11/2019	01/07/2020
CR104	Errors, Omissions and Delays	Supervisory Oversight	Kylie Bergmann - Coordinator Governance	Adequate	01/07/2019	01/07/2020
CR105	External Theft and Fraud	CCTV	Brent Stein - Manager Community Safety	Adequate	17/02/2020	30/06/2020
CR105	External Theft and Fraud	Floodlighting Shire Assets	Lindon Mellor - Manager Projects & Assets	Adequate	01/08/2019	01/07/2020
CR105	External Theft and Fraud	IT Firewall Systems and Awareness	Justin Hawkins - IT Support Officer	Adequate	01/07/2019	01/07/2020
CR105	External Theft and Fraud	Security Access (major sites)	Lindon Mellor - Manager Projects & Assets	Effective	04/05/2018	01/07/2020
CR105	External Theft and Fraud	Security Access (Information Services)	Sian Appleton - Executive Manager - Corporate Services	Adequate	01/11/2019	01/07/2020

Risk Code	Risk Title	Control Name	Control Owner	Owner Rating	Last Review Date	Next Review Date
CR105	External Theft and Fraud	Tree Guards	Vacant - Manager Technical Services Newman - Manager Technical Services - Newman	Adequate	01/07/2019	01/07/2020
CR105	External Theft and Fraud	Working Relationship with Police	Brent Stein - Manager Community Safety	Effective	01/07/2019	01/07/2020
CR-106	Fulfilling Statutory, Regulatory or Compliance Requirements	Airport Operational Management Processes	George Christianson - Manager Compliance - Airport	Effective	01/07/2019	01/07/2020
CR-106	Fulfilling Statutory, Regulatory or Compliance Requirements	Compliance Calendar	Kylie Bergmann - Coordinator Governance	Adequate	01/08/2019	01/07/2020
CR-106	Fulfilling Statutory, Regulatory or Compliance Requirements	Financial Reporting Process	Lisa Davis - Manager Corporate Services	Adequate	01/11/2019	01/07/2020
CR-106	Fulfilling Statutory, Regulatory or Compliance Requirements	Induction Process - Contractors	Dawn Ronchi - Contract Procurement Officer	Adequate	01/07/2019	01/07/2020
CR-106	Fulfilling Statutory, Regulatory or Compliance Requirements	Induction Process - Councillors	Kylie Bergmann - Coordinator Governance	Adequate	01/07/2019	01/07/2020
CR-106	Fulfilling Statutory, Regulatory or Compliance Requirements	Induction Process - Staff	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR-106	Fulfilling Statutory, Regulatory or Compliance Requirements	Operational Management Process (Aquatic Centre)	Jack Little - Manager Recreation & Events	Adequate	01/07/2019	01/07/2020
CR-106	Fulfilling Statutory, Regulatory or Compliance Requirements	Public Building Management	David Everett - Manager Development Services - Building	Adequate	01/07/2019	01/07/2020
CR-106	Fulfilling Statutory, Regulatory or Compliance Requirements	Staff Network Channels (MBA, HIA, OoE)	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR-106	Fulfilling Statutory, Regulatory or Compliance Requirements	Subscriptions (SAI Global, BCA, State Publisher, WALGA, State Gazette)	Kylie Bergmann - Coordinator Governance	Adequate	01/07/2019	01/07/2020

Risk Code	Risk Title	Control Name	Control Owner	Owner Rating	Last Review Date	Next Review Date
CR-106	Fulfilling Statutory, Regulatory or Compliance Requirements	Tender and Procurement Policy	Vacant - Manager Contracts & Procurement - Manager Contracts and Procurement	Effective	01/07/2019	01/07/2020
CR-107	Employment Practices	Human Resources Staff Procedures Manual	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR-107	Employment Practices	Induction Process - Staff	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR-107	Employment Practices	Performance Management Framework	Robin Austen - Manager Human Resources	Adequate	01/11/2019	01/07/2020
CR-107	Employment Practices	Performance Review Process	Robin Austen - Manager Human Resources	Non Effective	01/07/2019	01/07/2020
CR-107	Employment Practices	Recruitment and Selection Guidelines	Robin Austen - Manager Human Resources	Effective	01/11/2019	01/07/2020
CR-107	Employment Practices	Staff Exit Process	Robin Austen - Manager Human Resources	Adequate	01/11/2019	01/07/2020
CR-107	Employment Practices	Staff Training and Development	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR-107	Employment Practices	Strategic Workforce Plan	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR-107	Employment Practices	Succession Planning / Multi Skilling Practices	Robin Austen - Manager Human Resources	Non Effective	01/07/2019	01/07/2020
CR-108	Safety and Security Practices	Asbestos Management Program (Register and Plan)	Lindon Mellor - Manager Projects & Assets	Adequate	01/06/2019	29/02/2020

Risk Code	Risk Title	Control Name	Control Owner	Owner Rating	Last Review Date	Next Review Date
CR-108	Safety and Security Practices	Conduct Audit 4801	Robin Austen - Manager Human Resources	Non Effective	01/11/2019	30/06/2020
CR-108	Safety and Security Practices	Hazard Management and Safe Work Practices	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR-108	Safety and Security Practices	Incident and Investigation Process	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR-108	Safety and Security Practices	Induction Process - Contractors	Vacant - Manager Contracts & Procurement - Manager Contracts and Procurement	Adequate	01/07/2019	01/07/2020
CR-108	Safety and Security Practices	Induction Process - Staff	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR-108	Safety and Security Practices	OH&S Workplace Consultation	Robin Austen - Manager Human Resources	Non Effective	01/11/2019	01/07/2020
CR-108	Safety and Security Practices	OHS Management Framework	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR-108	Safety and Security Practices	Organisational Emergency Management	Brent Stein - Manager Community Safety	Adequate	17/02/2020	01/07/2020
CR-108	Safety and Security Practices	Sentinel Chicken Program	Vacant - Manager Development - Health - Development Services - Health	Effective	01/07/2019	01/07/2020
CR-108	Safety and Security Practices	Staff Individual Training Plans	Robin Austen - Manager Human Resources	Non Effective	11/05/2018	01/07/2020
CR-108	Safety and Security Practices	Training and Supervision	Robin Austen - Manager Human Resources	Adequate	01/11/2019	01/07/2020

Risk Code	Risk Title	Control Name	Control Owner	Owner Rating	Last Review Date	Next Review Date
CR-108	Safety and Security Practices	Warden Training for all Sites	Robin Austen - Manager Human Resources	Non Effective	01/07/2019	01/07/2020
CR-108	Safety and Security Practices	Water Monitoring Controls for Cape Keraudren Water Bore	Vacant - Manager Development - Health - Development Services - Health	Adequate	01/07/2019	01/07/2020
CR-109	Business and Community disruption	Business Continuity Framework (Policy and Procedures)	Brent Stein - Manager Community Safety	Non Effective	01/07/2019	30/04/2020
CR-109	Business and Community disruption	Business Continuity Plan and Annual Exercises	Brent Stein - Manager Community Safety	Non Effective	01/08/2019	30/04/2020
CR-109	Business and Community disruption	LEMAC and Recovery Plans and Exercises	Brent Stein - Manager Community Safety	Adequate	17/02/2020	31/05/2020
CR-109	Business and Community disruption	Qualified / Trained Staff	Robin Austen - Manager Human Resources	Adequate	01/07/2019	01/07/2020
CR-109	Business and Community disruption	Volunteer Management and Training	Brent Stein - Manager Community Safety	Adequate	17/02/2020	01/07/2020
CR-110	IT &/or Communication Systems and Infrastructure	Disaster Recovery Plan (ICT)	Sian Appleton - Executive Manager - Corporate Services	Adequate	01/07/2019	01/07/2020
CR-110	IT &/or Communication Systems and Infrastructure	ICT Asset Management Program	Sian Appleton - Executive Manager - Corporate Services	Adequate	01/11/2019	01/07/2020
CR-110	IT &/or Communication Systems and Infrastructure	Information Security Framework	Sian Appleton - Executive Manager - Corporate Services	Adequate	01/11/2019	01/07/2020
CR-110	IT &/or Communication Systems and Infrastructure	IT Infrastructure Security	Sian Appleton - Executive Manager - Corporate Services	Effective	01/11/2019	01/07/2020
CR-111	Document Management Processes	Records Management System	Lisa Davis - Manager Corporate Services	Adequate	01/11/2019	01/07/2020
CR-111	Document Management Processes	Training of Staff on induction in records	Lisa Davis - Manager Corporate Services	Adequate	01/11/2019	01/07/2020

Risk Code	Risk Title	Control Name	Control Owner	Owner Rating	Last Review Date	Next Review Date
CR-112	Asset Sustainability Practices	Building Maintenance Program	Lindon Mellor - Manager Projects & Assets	Adequate	01/08/2019	01/07/2020
CR-112	Asset Sustainability Practices	Parks, Open Spaces & Playgrounds Maintenance Program	Raees Rasool - Executive Manager Infrastructure Services	Adequate	01/11/2019	01/07/2020
CR-112	Asset Sustainability Practices	Plant & Vehicle Maintenance Program	Oliver Schaefer - Manager Technical Services - Rural	Adequate	01/11/2019	01/07/2020
CR-112	Asset Sustainability Practices	Roads, Drainage & Footpath Maintenance Program	Raees Rasool - Executive Manager Infrastructure Services	Adequate	01/11/2019	01/07/2020
CR-114	Project / Change Management	Project Approval, Allocation and Management	Lindon Mellor - Manager Projects & Assets	Not Rated	01/11/2019	01/07/2020
CR-114	Project / Change Management	Project Status Reporting	Lindon Mellor - Manager Projects & Assets	Not Rated	01/11/2019	01/07/2020
CR-115	Management of Facilities / Venues / Events	External Events Process	Han-Mari Roets - Coordinator Club & Events	Adequate	01/11/2019	01/07/2020
CR-115	Management of Facilities / Venues / Events	Facility Booking System	Suzy Jones - Customer Services Officer	Effective	01/11/2019	01/07/2020
CR-115	Management of Facilities / Venues / Events	Internal Events Process	Han-Mari Roets - Coordinator Club & Events	Adequate	01/11/2019	01/07/2020
CR-115	Management of Facilities / Venues / Events	Recreation Centre Booking System	Carly Williams - Coordinator Recreation Services	Effective	01/11/2019	01/07/2020
CR-116	Supplier / Contract Management	Contract Management Process	Ben Lewis - Executive Manager - Commercial Services	Adequate	01/08/2019	01/07/2020
CR-116	Supplier / Contract Management	Procurement Management Process	Dawn Ronchi - Contract Procurement Officer	Effective	01/11/2019	01/07/2020



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4.4 FINANCIAL MANAGEMENT REVIEW 2019 – IMPROVEMENT PLAN STATUS APRIL 2020

File No:	LEG-21-1
Attachments:	Appendix 1 – FMR – Improvement Plan Report – April 2020
Responsible Officer:	Ms Sian Appleton Executive Manager Corporate Services
Author:	Ms Sian Appleton Executive Manager Corporate Services
Location/Address:	N/A
Name of Applicant:	N/A
Author Disclosure of Interest:	Nil

REPORT PURPOSE

To report on the status of the Financial Management Review Improvement Plan.

BACKGROUND

Pursuant to Regulation 5(2)(c) of the Local Government (Financial Management) Regulation 1996 (as amended) the CEO is to undertake a review of the Financial Management.

In June 2019 Moore Stephens undertook this review for the CEO and the report was presented to the Audit Committee on the 23rd August and subsequently at the Ordinary Council Meeting dated 22nd November 2019.

From this report a Financial Management Review (FMR) Improvement Plan was created and entered into Council's CAMMS Strategic Planning software for monitoring.

COMMENTS/OPTIONS/DISCUSSIONS

Attached is a copy of the CAMMS reporting document.

Currently 15 actions are reported on. Of these 87% are on target, 13% are being monitored and 0% are off target.

STATUTORY IMPLICATIONS/REQUIREMENTS

Regulation 5(2)(c) of the Local Government (Financial Management) Regulation 1996 (as amended).

POLICY IMPLICATIONS

Nil

STRATEGIC COMMUNITY PLAN

5: Governance

Demonstrated accountability and corporate governance.

- G1 Provide efficient, accountable and ethical governance.
- G1.1 *Enhance governance capability to deliver sustainable outcomes, roads and buildings*

RISK MANAGEMENT CONSIDERATIONS

Reputational - Medium

FINANCIAL IMPLICATIONS

Resource requirements are in accordance with existing budgetary allocation.

VOTING REQUIREMENTS

Simple.

OFFICER & COMMITTEE RECOMMENDATION

MOVED: Cr Geraldine Parsons, **SECONDED:** Cr Karen Lockyer

That Council review and receive the CAMMS Financial Management Review Improvement Plan status report as presented at Appendix 1.

CARRIED UNANIMOUSLY

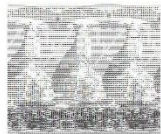
To be actioned by Ms Sian Appleton, Executive Manager Corporate Services

Appendix 1
FMR – Improvement Plan Report – April 2020



Action and Task Progress Report

Shire of East Pilbara

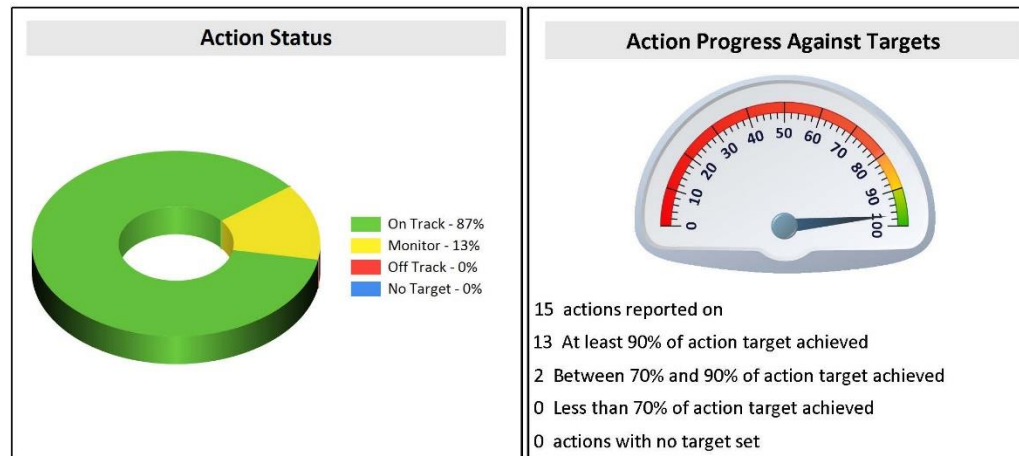


SHIRE OF EAST PILBARA

Print Date: 07-May-2020



OVERVIEW



ACTION PLANS



GREEN

At least 90% of action target achieved



AMBER

Between 70% and 90% of action target achieved



RED

Less than 70% of action target achieved



No target set

* Dates have been revised from the Original dates

Commercial Services

Procurement and Contracts

9.1 Procurement

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.119 FMR - "Remind" authorised officers of the need to ensure purchase orders are raised prior to the time of authorising works / services or ordering goods. PURCHASE, PAYMENT AND PAYABLES MEDIUM RISK	Dawn Ronchi - Contract Procurement Officer	Completed	13-Oct-2019	30-Jun-2020	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: Procurement refresher training is currently being organised by the Procurement department. 7/1/20 - Reminder emails are sent to all staff to remind staff of the requirement to raise PO's at the time the services are engaged/goods ordered not when the invoice is received. Internal Audits of POs are conducted and staff are sent a formal breach notice if they are raising PO's incorrectly/contrary to the Procurement Policy. 11/2/20 - Internal Audits are ongoing. Last Updated: 11-Feb-2020							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.127 FMR - Ensure all purchases with a consideration worth more than \$150,000 incur a public tender process. TENDER PROCESS HIGH RISK	Dawn Ronchi - Contract Procurement Officer	In Progress	13-Oct-2019	30-Jun-2020	75.00%	100.00%	 AMBER

Shire of East Pilbara

Action and Task Progress Report

ACTION PROGRESS COMMENTS:

7/1/20 - Internal audits of POs are taking place to ensure this is taking place. Staff are also made aware of both the Shire's Procurement Policy and the Act/Regs when undergoing their WALGA Procurement Training. Have highlighted some ongoing service / laboring works will need to be awarded via a Tender process.

11/2/20 - Internal audits still taking place.

6/5/20 - As above - note that the Tender threshold amount has been increased to \$250k. The target of 100% for May 20 has been delayed due to Tenders still being arranged for 19/20 (normally has ceased by this time of the fin year).

Last Updated: 06-May-2020

Corporate Services

Corporate Services

20.1 Financial Services

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.114 FMR - Independently review monthly bank reconciliations for reserve bank accounts BANK RECONCILIATIONS MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	13-Oct-2019	30-Jun-2020	100.00%	100.00%	 GREEN

ACTION PROGRESS COMMENTS:

Bank reconciliations are now independently reviewed - from 01/04/2019.

Last Updated: 13-Oct-2019

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.115 FMR - Prepare bank reconciliations for trust bank account regularly. BANK RECONCILIATIONS MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	13-Oct-2019	30-Jun-2020	100.00%	100.00%	 GREEN

ACTION PROGRESS COMMENTS:

Trust bank reconciliations now undertaken monthly.

Last Updated: 13-Oct-2019

Shire of East Pilbara

Action and Task Progress Report

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.116 FMR - Trust account deposits should be undertaken either directly or from the municipal account more regularly. TRUST FUNDS HIGH RISK	Lisa Davis - Manager Corporate Services	Completed	13-Oct-2019	30-Jun-2020	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: Daily trust transfers undertaken from 01/06/2019. Last Updated: 13-Oct-2019							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.117 FMR - End of day receipting report should be independently reviewed and signed off. RECEIPTS AND RECEIVABLES MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	13-Oct-2019	30-Jun-2020	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: All end of day receipting now independently reviewed. Finance Officer does audits on each area once a month. Last Updated: 13-Oct-2019							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.118 FMR - Ensure fees charged are in accordance with adopted schedule of fees and charges. FEES AND CHARGES MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	13-Oct-2019	30-Jun-2020	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: All debtors batches are now reviewed by the Coordinator Financial Services and matched to the adopted schedule of fees and charges. Last Updated: 13-Oct-2019							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %

Shire of East Pilbara

Action and Task Progress Report

5.1.1.120 FMR - Payroll reconciliations need to be undertaken monthly. PAYROLL HIGH RISK	Lisa Davis - Manager Corporate Services	Completed	13-Oct-2019	30-Jun-2020	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: Payroll reconciliations are now undertaken monthly. Last Updated: 13-Oct-2019							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.121 FMR - Reconciliation of borrowing subsidiary ledgers to loans register. BORROWINGS LOW RISK	Lisa Davis - Manager Corporate Services	Completed	13-Oct-2019	30-Jun-2020	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: Borrowings are now reconciled quarterly. Last Updated: 13-Oct-2019							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.122 FMR - Credit card statements need to be independently reviewed. CREDIT CARD PROCEDURES MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	13-Oct-2019	30-Jun-2020	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: The requirement for all credit card statement to be reviewed by a senior staff member has now been added to the end of month creditor checklist. Last Updated: 13-Oct-2019							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %

Shire of East Pilbara

Action and Task Progress Report

5.1.1.123 FMR - Ensure all Shire's fixed assets with a purchase price of below \$5,000 are excluded from the asset register. FIXED ASSETS HIGH RISK	Lisa Davis - Manager Corporate Services	Completed	13-Oct-2019	30-Jun-2020	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: This new legislative requirement was adhered to prior to the end of the 19/20 financial year and in future no assets purchased for less than \$5,000 will be included in the Asset Register. Last Updated: 13-Oct-2019							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.124 FMR - Depreciation rates applied to assets must be consistent with the Shire's accounting policies. FIXED ASSETS MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	13-Oct-2019	30-Jun-2020	100.00%	100.00%	 GREEN
ACTION PROGRESS COMMENTS: 13/10/2019 - The Shire's Accounting policies are currently being reviewed 08/11/2019 - Updated Accounting Policy approved by council. 31/01/2020 - No further update. 07/05/2020 - Finalised Last Updated: 07-May-2020							
ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.125 FMR - Money held in investments must comply with the Shire's Investment Policy stating that the maximum held with one institution does not exceed 35%. INVESTMENTS LOW RISK	Lisa Davis - Manager Corporate Services	In Progress	13-Oct-2019	30-Jun-2020	80.00%	100.00%	 AMBER
ACTION PROGRESS COMMENTS: 13/10/2019 - 30% of money transferred from BankWest to Bendigo Bank. A further 35% needs to be moved to another institution. 08/11/2019 - Commonwealth Bank forms received to open new investment account. 31/01/2020 - Forms etc submitted. Just waiting for account to transfer.							

Shire of East Pilbara

Action and Task Progress Report

07/05/2020 - Last transfer to be processed

Last Updated: 07-May-2020

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.126 FMR - All general journals are to be authorised monthly by a senior staff member. GENERAL JOURNALS HIGH RISK	Lisa Davis - Manager Corporate Services	Completed	13-Oct-2019	30-Jun-2020	100.00%	100.00%	 GREEN

ACTION PROGRESS COMMENTS:

From July 2019 the system generated general journal report is independently reviewed by a senior staff member.

Last Updated: 13-Oct-2019

Strategic and Business Planning

2.1 Risk Management and IPR

ACTION	RESPONSIBLE PERSON	STATUS	START DATE	END DATE	COMPLETE %	TARGET	ON TARGET %
5.1.1.25 17D and FMR - Review and update the Disaster Recovery Plan, identifying and documenting key ICT risks along with the treatments to reduce the risk to an acceptable level. HIGH RISK	Sian Appleton - Executive Manager - Corporate Services	In Progress	17-Feb-2019	31-Dec-2021	80.00%	0.00%	 GREEN

ACTION PROGRESS COMMENTS:

31/07/2019 - Resources allocated to project. Scope currently being created. Working with our IT consultants regarding the IT portion of the plan.

08/11/2019 - Coordinator IT since resigned. EMCS working with IT consultant to finalise this project.

30/04/2020 - Draft documented completed. In final review stage.

Last Updated: 05-May-2020

5 CONFIDENTIAL MATTERS BEHIND CLOSED DOORS

6 GENERAL BUSINESS

7 DATE OF NEXT MEETING

28 August 2020.

8 CLOSURE

9:13AM