



SHIRE OF EAST PILBARA

AGENDA

AUDIT COMMITTEE MEETING

NOTICE IS HEREBY GIVEN that an Ordinary Meeting of the **AUDIT COMMITTEE** will be held, in Council Chambers, Newman, 8:00am, Friday, 24 May, 2019.

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.

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

In particular and without derogating 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

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1 DECLARATION OF OPENING/ANNOUNCEMENT OF VISITORS

2 RECORD OF ATTENDANCES/APOLOGIES/LEAVE OF ABSENCE

2.1 ATTENDANCES

Councillors

Lynette Craigie OAM
Geraldine Parsons
Anthony Middleton

Shire President
Councillor
Councillor

Officers

Jeremy Edwards
Sian Appleton

Chief Executive Officer
Executive Manager Corporate Services

Public Gallery

2.2 APOLOGIES

Councillor Apologies

Anita Grace

Councillor

Officer Apologies

3 LEAVE OF ABSENCE/PUBLIC QUESTION TIME

4 CONFIRMATION OF MINUTES OF PREVIOUS COUNCIL MEETING

4.1 CONFIRMATION OF MINUTES

THAT the minutes of the Audit Committee Meeting held at Newman on the 22nd February 2019, be confirmed as a true and correct record of proceedings.

5 OFFICER'S REPORTS

5.1 FINANCIAL MANAGEMENT REVIEW IMPROVEMENT PLAN UPDATE

Attachments:	Appendix 1: CAMMS Financial Management Review Improvement Plan status report
Responsible Officer:	Ms Sian Appleton Executive Manager Corporate Services
Author:	Ms Sian Appleton Executive Manager Corporate Services
Proposed Meeting Date:	24 May 2019
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 2016 Moore Stephens undertook this review for the CEO and the report was presented to the Audit Committee on the 8th September 2016 and subsequently at the Ordinary Council Meeting dated 23rd September 2016.

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 there are 21 actions reported on and all are on track for completion by the 30 June 2019.

STATUTORY IMPLICATIONS/REQUIREMENTS

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

POLICY IMPLICATIONS

N/A

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

As set out in the CAMMS reporting for each action item.

FINANCIAL IMPLICATIONS

No financial resource impact.

VOTING REQUIREMENTS

Simple.

OFFICER'S RECOMMENDATION

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

Appendix 1
CAMMS Financial Management Review
Improvement Plan status report

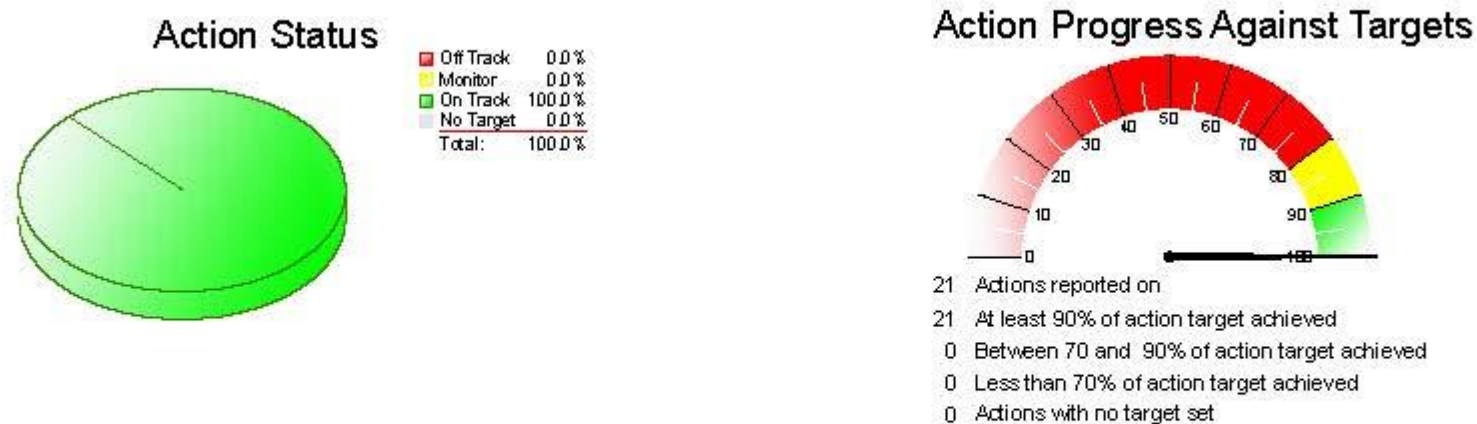


July 2018 - April 2019

Report Filters:

Date From :01-07-2018
Date To :30-04-2019
Display Task : No
Action Filter :Show All



**Corporate Services**

Financial Services

STRATEGY: 5.1.1 Enhance governance capability to deliver sustainable outcomes

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.62 FMR - Improvement in process needed - Trust transactions were processed through the Municipal bank account and no separate account was maintained as required. COMPLIANCE MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
20.1 Financial Services	Operating				

ACTION PROGRESS COMMENTS

Trust Account created according to regulation.

Last Updated - 22/05/2019

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.63 FMR - Improvement in process - The objects / reasons of imposing 2015/16 differential rates and the reasons for the difference from the rates advertised and the details of those advertised, were not included in the rate notice of accompanying information as required. COMPLIANCE MEDIUM RISK	Lisa Davis - Manager Corporate Services	Not Started	18/02/2019	30/06/2019	0%	0%	GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
20.1 Financial Services	Operating				

Last Updated - 18/02/2019

Shire of East Pilbara

Action & Task Progress Report

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.64 FMR - Improvement in process needed - Rates debtors' reconciliations did not always have the evidence of being independently review. SYSTEMS AND PROCEDURES LOW RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Process created to ensure reconciliations are reviewed independently and evidenced.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.65 FMR - Improvement in process needed - manual rolling reconciliations have no evidence of being independently review. SYSTEMS AND PROCEDURES LOW RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Process created to ensure manual rolling reconcilaitons are independently reviewed and evidenced.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.66 FMR - Improvement in process needed - rate notice or accompanying information did not include the required statement regarding the pensioner rebates. COMPLIANCE LOW RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Checklist created to ensure correct and comprehensive information accompanies rate notices as per legislation,							
Last Updated - 22/05/2019							

Shire of East Pilbara

Action & Task Progress Report

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.67 FMR - Improvement process needed - Local public notices were not given as required for fees and charges imposed after budget adoption. COMPLIANCE LOW RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Process created whereby all changes in fees and charges accepted outside the budget process are correctly advertised.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.68 FMR - Improved process needed - Purchased orders were raised after the supplier tax invoices were received SYSTEMS AND PROCEDURES MEDIUM	Lisa Davis - Manager Corporate Services	In Progress	18/02/2019	30/06/2019	80%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Process created for more rigorous checking of purchase orders against invoice dates. Finance is currently working with Technical Services to abolish all manual purchase order books by staff first creating requisitions for entry into electronic system.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.69 FMR - Improved process needed - Purchase orders did not contain information about verbal quotations as required. SYSTEMS AND PROCEDURES MEDIUM RISK	Lisa Davis - Manager Corporate Services	In Progress	18/02/2019	30/06/2019	80%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Ongoing training needed for officer who have authority to raise purchase orders. More rigorous checking of purchase orders having quotes. Breach notices issued where needed.							
Last Updated - 22/05/2019							

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Action & Task Progress Report							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.70 FMR - Improved process needed - creditor system audit trail report was not printed and reviewed at every payment run. SYSTEMS AND PROCEDURES MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Process created to ensure creditor system audit trail reports are always printed, reviewed and signed off by appropriate officer.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.71 FMR - Improvement in process needed - Payroll system audit trail report was not printed and review at every pay run SYSTEMS AND PROCEDURES MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Process created to ensure payroll system audit trail reports are always printed, reviewed and signed off by appropriate officer.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.72 FMR - Improved process needed - Payroll officer has the authority to approve payments via electronic funds transfer. SYSTEMS AND PROCEDURES MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Process improved to delete payroll officer's ability to approve payments.							
Last Updated - 22/05/2019							

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Action & Task Progress Report							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.73 FMR - Process improvement needed - disposal of properties not in accordance with the Act. COMPLIANCE LOW RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Improved process created when assets are disposed off. All disposals now controlled by Asset Management Officer in accordance with regulations.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.74 FMR - Improved process needed - Allocation rates for Plant Operating Costs and Salaries and Wages have not been regularly reviewed and adjusted. SYSTEMS AND PROCEDURES MEDIUM RISK	Lisa Davis - Manager Corporate Services	In Progress	18/02/2019	30/06/2019	50%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Process currently under review to improve allocation of POC and PWOH.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.75 FMR - Improved process needed - A copy of the budget was not forwarded to the Dept of Local Government and Communities within 30 days of adoption as required. COMPLIANCE LOW RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	100%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Process improved whereby as soon as adoption of budget by Council takes place it is entered into the LG portal within two weeks.							
Last Updated - 18/02/2019							

Shire of East Pilbara

Action & Task Progress Report


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.76 FMR - Improved process needed - A copy of the budget review was not forwarded to the Dept Local Government and Communities within 30 days of adoption as required. COMPLIANCE LOW RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	100%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
20.1 Financial Services	Operating				

ACTION PROGRESS COMMENTS

A process is now in place whereby the budget review is forwarded to the dept (either by email or uploaded through the portal) within two weeks of acceptance of the budget review by Council.

Last Updated - 18/02/2019


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.77 FMR - Improved process needed - Annual Report was not accepted by Council within 2 months of receiving the auditor's report as required. COMPLIANCE LOW RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
20.1 Financial Services	Operating				

ACTION PROGRESS COMMENTS

Process created to ensure Annual Report accepted by Council within legislative timelines.

Last Updated - 22/05/2019

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.78 FMR - Improved process needed - The Statement of Financial Activity for January 2016 was not prepared and presented to council as required. COMPLIANCE MEDIUM RISK	Lisa Davis - Manager Corporate Services	In Progress	18/02/2019	30/06/2019	60%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
20.1 Financial Services	Operating				

ACTION PROGRESS COMMENTS

Process still being reviewed. Issues arise due to staff shortages and Council meeting dates.

Last Updated - 22/05/2019

Shire of East Pilbara

Action & Task Progress Report							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.79 FMR - Improved process needed - The Statement of Financial Activity did not contain explanations for material variances in relation to capital expenditure items as required. COMPLIANCE MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
New template now used for the presentation of the Statement of Financial Activity to ensure legislative requirements are met.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.81 FMR - Improved process needed - Investment Policy did not specify the statutory restriction regarding investment of funds. COMPLIANCE MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Policy updated and accepted by Council.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.82 FMR - Improved process needed - The Shire did not invest funds with an authorised institution as required. COMPLIANCE MEDIUM RISK	Lisa Davis - Manager Corporate Services	Completed	18/02/2019	30/06/2019	100%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS							
Improved process created to ensure funds invested in authorised institution requirements							
Last Updated - 22/05/2019							

Shire of East Pilbara

Action & Task Progress Report

Strategic and Business Planning

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.80 FMR - Improved process needed - The Corporate Business Plan was not review as required. COMPLIANCE LOW RISK	Sian Appleton - Executive Manager - Corporate Services	Completed	18/02/2019	30/06/2019	100%	100%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
2.1 Risk Management and IPR	Operating				

ACTION PROGRESS COMMENTS

Process in place whereby the Corporate Business Plan is reviewed and accepted by Council in January / February annually, prior to the beginning of the budget process.

Last Updated - 18/02/2019

5.2 REGULATION 17 REVIEW IMPROVEMENT PLAN UPDATE

Attachments:	Appendix 1:
Responsible Officer:	Ms Sian Appleton Executive Manager Corporate Services
Author:	Ms Sian Appleton Executive Manager Corporate Services
Proposed Meeting Date:	24 May 2019
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.

COMMENTS/OPTIONS/DISCUSSIONS

Attached is a copy of the CAMMS reporting document (**Appendix 1 refers**).

Currently there are 21 actions reported on and all are on track for completion by the 30 June 2019.

STATUTORY IMPLICATIONS/REQUIREMENTS

Nil

POLICY IMPLICATIONS

N/A

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

As set out in the CAMMS reporting for each action item.

FINANCIAL IMPLICATIONS

No financial resource impact.

VOTING REQUIREMENTS

Simple.

OFFICER'S RECOMMENDATION

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

Appendix 1
CAMMS Regulation 17 Improvement Plan
status report



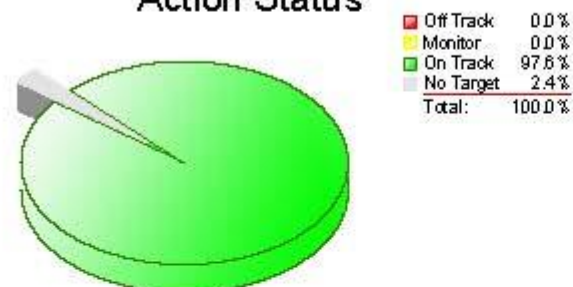
Shire of East Pilbara
PREMIUM Action and Task Progress Report

July 2018 - April 2019

Report Filters:
Date From :01-07-2018
Date To :30-04-2019
Display Task : No
Action Filter :Show All



Action Status



Action Progress Against Targets



Commercial Services

Airport Services

STRATEGY: 5.1.1 Enhance governance capability to deliver sustainable outcomes

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.37 17D - Risk management practices at the airport should be undertaken in accordance the Shires 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	17/02/2019	31/12/2021	50%	0%	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></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Shire of East Pilbara

Action & Task Progress Report

Procurement and Contracts


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	100%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
9.1 Procurement	Operating				

ACTION PROGRESS COMMENTS

Policy Updated

Last Updated - 22/05/2019


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	In Progress	17/02/2019	31/12/2021	50%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
9.1 Procurement	Operating				

ACTION PROGRESS COMMENTS

Processes currently under review to ensure all procurement is undertaken in accordance with legislation.

Last Updated - 22/05/2019

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	100%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
9.1 Procurement	Operating				


ACTION PROGRESS COMMENTS

Process updated.

Last Updated - 22/05/2019

Shire of East Pilbara

Action & Task Progress Report


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	20%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
9.1 Procurement	Operating				

ACTION PROGRESS COMMENTS

Processes currently under review.

Last Updated - 22/05/2019


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	100%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
9.2 Management of Contracts, Leases and MOU's	Operating				

ACTION PROGRESS COMMENTS

Process updated.

Last Updated - 22/05/2019

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	100%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
9.1 Procurement	Operating				

ACTION PROGRESS COMMENTS

Process updated.

Last Updated - 22/05/2019

Shire of East Pilbara

Action & Task Progress Report


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
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	17/02/2019	31/12/2021	50%	0%	<div><div></div><div></div><div></div></div> <div>GREEN</div>
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
9.1 Procurement	Operating						
ACTION PROGRESS COMMENTS							
Review of processes and refresher training currently being considered. Finance working with Technical services to abolish manual purchase order books.							
Last Updated - 22/05/2019							

Shire of East Pilbara

Action & Task Progress Report

Corporate Services

Financial Services


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	100%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
20.1 Financial Services	Operating				

ACTION PROGRESS COMMENTS

Policy rescinded.

Last Updated - 22/05/2019


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	10%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
20.1 Financial Services	Operating				

ACTION PROGRESS COMMENTS

Processes being reviewed to determine how fee accuracy can be verified.

Last Updated - 22/05/2019

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	In Progress	17/02/2019	31/12/2021	20%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
20.2 Records Management	Operating				


ACTION PROGRESS COMMENTS

New position created and filled in April 2019. Records Officer now working through issues with controls regarding record capture.

Last Updated - 22/05/2019

Shire of East Pilbara

Action & Task Progress Report


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	10%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
20.1 Financial Services	Operating				

ACTION PROGRESS COMMENTS

Detailed assessment being first undertaken to determine key areas where checklists are needed.

Last Updated - 22/05/2019


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	In Progress	17/02/2019	31/12/2021	80%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
20.1 Financial Services	Operating				

ACTION PROGRESS COMMENTS

New processes created in relation to credit cards to ensure stricter control of credit cards. Some processes still being improved.

Last Updated - 22/05/2019

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
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	17/02/2019	31/12/2021	100%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
20.1 Financial Services	Operating				



ACTION PROGRESS COMMENTS

New process for presentation of creditors to Council complete to ensure compliance with legislative requirements.

Last Updated - 22/05/2019

Shire of East Pilbara


Action & Task Progress Report

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	100%	0%	 GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS New template introduced for the reporting on the monthly statements to meet legislative compliance. Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	In Progress	17/02/2019	31/12/2021	90%	0%	 GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
20.1 Financial Services	Operating						
ACTION PROGRESS COMMENTS Staff currently completing the remaining items on the FMR improvement plan as reported through the FMR improvement plan status report. Last Updated - 22/05/2019							

Shire of East Pilbara

Action & Task Progress Report

Human Resources


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	Vacant - Manager Human Resources - Manager Human Resources	Not Started	17/02/2019	31/12/2021	0%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
10.1 Human Resource Management	Operating				

ACTION PROGRESS COMMENTS

Manager Human Resources position vacant for six months. Position now filled and processes will be reviewed.

Last Updated - 22/05/2019


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	Vacant - Manager Human Resources - Manager Human Resources	Not Started	17/02/2019	31/12/2021	0%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
10.2 Occupational Health and Safety	Operating				

ACTION PROGRESS COMMENTS

Manager Human Resources position vacant for six months. Position now filled and processes will be reviewed.

Last Updated - 22/05/2019

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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.	Vacant - Manager Human Resources - Manager Human Resources	Not Started	17/02/2019	31/12/2021	0%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
10.2 Occupational Health and Safety	Operating				

ACTION PROGRESS COMMENTS

Manager Human Resources position vacant for six months. Position now filled and processes will be reviewed.

Last Updated - 22/05/2019

Shire of East Pilbara

Action & Task Progress Report

STRATEGY: 5.1.3 Provide a great place to work


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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.	Vacant - Manager Human Resources - Manager Human Resources	Not Started	17/02/2019	31/12/2021	0%	0%	<div><div></div><div></div><div></div></div> <div>GREEN</div>
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
10.1 Human Resource Management	Operating						
Last Updated - 17/02/2019							

Shire of East Pilbara

Action & Task Progress Report

Information Communication and Technology

STRATEGY: 5.1.1 Enhance governance capability to deliver sustainable outcomes

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	Not Started	17/02/2019	31/12/2021	0%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
23.1 Information Communication and Technology	Operating				

Last Updated - 17/02/2019

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	Not Started	17/02/2019	31/12/2021	0%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
23.1 Information Communication and Technology	Operating				

Last Updated - 17/02/2019

Shire of East Pilbara

Action & Task Progress Report

Strategic and Business Planning

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.20 17D - Review and update the Corporate Business Plan to ensure it remains current. MEDIUM RISK	Sian Appleton - Executive Manager - Corporate Services	Completed	17/02/2019	31/12/2021	100%	100%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
2.1 Risk Management and IPR	Operating				

Last Updated - 25/02/2019

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
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	In Progress	17/02/2019	31/12/2021	10%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
2.1 Risk Management and IPR	Operating				

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
2.1 Risk Management and IPR	Operating				

ACTION PROGRESS COMMENTS

Resources allocated to project. Scope currently being developed.

Last Updated - 22/05/2019

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.25 17D - 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	17/02/2019	31/12/2021	10%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
2.1 Risk Management and IPR	Operating				

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
2.1 Risk Management and IPR	Operating				

ACTION PROGRESS COMMENTS

Resources allocated to project. Scope currently being created.

Last Updated - 22/05/2019

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	In Progress	17/02/2019	31/12/2021	80%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
2.1 Risk Management and IPR	Operating				

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
2.1 Risk Management and IPR	Operating				

ACTION PROGRESS COMMENTS

Risk Management procedures and process reviewed internally and sent to LGIS for comment. Final updated documentation will be completed by 30 June 2019.

Last Updated - 22/05/2019





Shire of East Pilbara

Action & Task Progress Report

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	100%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
2.1 Risk Management and IPR	Operating						
ACTION PROGRESS COMMENTS							
New process and template established to ensure compliance.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	In Progress	17/02/2019	31/12/2021	50%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
2.1 Risk Management and IPR	Operating						
ACTION PROGRESS COMMENTS							
Risk workshops with LGIS organised for June which will result in an updated Risk Register.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	50%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
2.1 Risk Management and IPR	Operating						
ACTION PROGRESS COMMENTS							
Risk Management processes currently being review and will then be rolled out to whole organisation.							
Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	In Progress	17/02/2019	31/12/2021	50%	0%	<div><div></div><div></div><div></div></div> GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
2.1 Risk Management and IPR	Operating						
ACTION PROGRESS COMMENTS							
A central register is maintained and is currently being updated.							
Last Updated - 22/05/2019							

Shire of East Pilbara

Action & Task Progress Report


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	In Progress	17/02/2019	31/12/2021	50%	0%	 GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
2.1 Risk Management and IPR	Operating						
ACTION PROGRESS COMMENTS All Risk Management processes currently under review. Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	Sian Appleton - Executive Manager - Corporate Services	Not Started	17/02/2019	31/12/2021	0%	0%	 GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
2.1 Risk Management and IPR	Operating						
ACTION PROGRESS COMMENTS Still to be implements. Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	Ongoing	17/02/2019	31/12/2021		0%	 GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
2.1 Risk Management and IPR	Operating						
ACTION PROGRESS COMMENTS Ongoing. On Executive Team meeting agenda. Last Updated - 22/05/2019							
Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	100%	0%	 GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
2.1 Risk Management and IPR	Operating						
ACTION PROGRESS COMMENTS Risk Improvement plan now entered into CAMMS software and reported to the Audit Committee and Council quarterly. Last Updated - 22/05/2019							

Shire of East Pilbara

Action & Task Progress Report

Executive Services

Governance


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	100%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
16.1 Corporate Governance	Operating				

ACTION PROGRESS COMMENTS

New process implemented to provide accurate record of policy review.

Last Updated - 22/05/2019


Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
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	17/02/2019	31/12/2021	15%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
16.1 Corporate Governance	Operating				

ACTION PROGRESS COMMENTS

Processes currently being reviewed.

Last Updated - 22/05/2019

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	In Progress	17/02/2019	31/12/2021	10%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
16.1 Corporate Governance	Operating				


ACTION PROGRESS COMMENTS


Processes currently being reviewed.

Last Updated - 22/05/2019

Shire of East Pilbara

Action & Task Progress Report

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	In Progress	17/02/2019	31/12/2021	70%	0%	 GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
16.1 Corporate Governance	Operating						
ACTION PROGRESS COMMENTS							
Underway							
Last Updated - 22/05/2019							

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	5%	0%	 GREEN
Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance		
16.1 Corporate Governance	Operating						
ACTION PROGRESS COMMENTS							
Process to establish internal auditing function currently being investigated.							
Last Updated - 22/05/2019							


Shire of East Pilbara

Action & Task Progress Report

Infrastructure Services

Natural Resource Management

STRATEGY: 4.2.1 Conserve natural vegetation, green spaces and bushland

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	Edmore Masaka - Development Services - Health	In Progress	17/02/2019	31/12/2021	10%	0%	 GREEN


Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
21.1 Landfill Management	Operating				

ACTION PROGRESS COMMENTS

Initial steps taken to scope detail of risk assessments.

Last Updated - 22/05/2019

STRATEGY: 5.1.1 Enhance governance capability to deliver sustainable outcomes

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	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	17/02/2019	31/12/2021	0%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
21.2 Waste Collection and Recycling	Operating				

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

Last Updated - 16/05/2019

Shire of East Pilbara

Action & Task Progress Report

Project Management

Action	Responsibility	Action Status	Start Date	End Date	% Comp.	Target	% On Target
5.1.1.26 17D - Update and finalise asset management plans and present to Council for adoption. MEDIUM RISK	Sian Appleton - Executive Manager - Corporate Services	Not Started	17/02/2019	31/12/2021	0%	0%	 GREEN

Service Profile	Budget Type	Budget	YTD Budget	YTD Actual	YTD Variance
11.2 Asset Management	Operating				

Last Updated - 17/02/2019

5.3 REVIEW OF ORGANISATIONAL RISK REGISTER

Appendix 1:	CAMMS current risk status report
Responsible Officer:	Ms Sian Appleton Executive Manager Corporate Services
Author:	Mrs Kylie Bergmann Coordinator Governance
Proposed Meeting Date:	24 May 2019
Location/Address:	N/A
Name of Applicant:	N/A
Author Disclosure of Interest:	Nil

REPORT PURPOSE

To report on the identified high and extreme strategic and operational risks.

BACKGROUND

Pursuant to Regulation 17 of the *Local Government (Audit) Regulations 1996*, the CEO 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 2018, 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.

COMMENTS/OPTIONS/DISCUSSIONS

Please see attached copy of the Organisational Risk Register which outlines the identified high and extreme risks.

The Organisational Risk Register was put together following a Risk Workshop conducted by LGIS in February 2015. At the Audit Committee meeting on 6 September 2018, we advised that we had approached LGIS about conducting another workshop to review and update our risk profiles and controls. Unfortunately the facilitator, Mark Harris, had some medical issues which prevented him from coming up sooner. But we are pleased to advise that the workshop has now been set for 5-7 June 2019. An updated version of the Risk Register will be presented at the next Audit Committee meeting.

STATUTORY IMPLICATIONS/REQUIREMENTS

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

POLICY IMPLICATIONS

Risk Management Policy
Risk Management Strategy
Risk Management Procedures

STRATEGIC COMMUNITY PLAN

5: Governance

Demonstrated accountability and corporate governance.

G1 Provide efficient, accountable and ethical governance.

G1.3 Provide a great place to work

RISK MANAGEMENT CONSIDERATIONS

To monitor and mitigate all risk considerations.

FINANCIAL IMPLICATIONS

No financial resource impact.

VOTING REQUIREMENTS

Simple.

OFFICER'S RECOMMENDATION

That the Council

1. Receive the Organisational Risk Report for the quarter ending 31 March 2019.
2. Receive the CAMMS current risk status report at Appendix 1.

Appendix 1

CAMMS current risk status report

Shire of East Pilbara Risk Register

21-May-2019

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions										
				Risk Title	Causes	Resulting In	Risk Treatment																									
					Inherent	Inherent	Inherent	Revised	Target	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Risk Action Title	Resource Requirements	Responsible Officer	End Date	Revised End Date	Percentage Complete	Progress Comments	Completed Date			
CR103	Environmental	Compliance Financial Impact Health Property Representations I - External Representations I - Internal Service Interruption	Corporate Risk	Inadequate Environmental Management	Inadequate management of landfill sites lack of understanding / knowledge Inadequate local laws / planning schemes Inadequate reporting / oversight frameworks Community apathy	<ul style="list-style-type: none">• Lack of adequate planning and management of coastal erosion issues.• Failure to identify and effectively manage contaminated sites (including groundwater usage).• Waste facilities (landfill / transfer stations).• Weed control.• Ineffective management of water sources (reclaimed, potable)• Illegal dumping.• Illegal clearing / land use					3.00	4.00	12.00	High		3.00	4.00	12.00	High		3.00	3.00	9.00	Moderate	Review operating arrangement for the Landfill sites at Nullagine and Marble Bar		Raees Rasool	28/06/2019		10%		

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions										
				Risk Title	Causes	Resulting In	Risk Treatment																									
					Inherent	Inherent	Inherent	Revised	Target	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Risk Action Title	Resource Requirements	Responsible Officer	End Date	Revised End Date	Percentage Complete	Progress Comments	Completed Date			
CR105	Financial Impact		Corporate Risk	External Theft and Fraud	<div><div>Inadequate security of equipment / supplies / cash</div><div>Robbery</div><div>Scam Invoices</div><div>Inadequate provision for patrons belongings</div><div>Lack of supervision</div></div>	Fraud Malicious Damage Theft Scam Invoice Cash or other valuable form "outstations"			Acceptance Reduction		3.00	4.00	12.00	High		3.00	4.00	12.00	High		3.00	3.00	9.00	Moderate	Finalise community Safety Plan and have endorsed by Council		Brent Stein	28/06/2019		10%		

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions							
				Risk Title	Causes	Resulting In	Risk Treatment																						
					Inherent	Inherent	Inherent	Revised	Target	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Risk Action Title	Resource Requirements	Responsible Officer	End Date	Revised End Date	Percentage Complete	Progress Comments	Completed Date
CR102	Representational - External		Corporate Risk	Providing Inaccurate Advice / Information	Lack of qualified staff Long Lead times for responses Increasing workloads Lack of appropriate technical knowledge relevant to the context Poor working relationships between internal staff / departments	• Incorrect planning, development or building advice, • Incorrect health or environmental advice • Inconsistent messages or responses from Customer Service Staff • any advice that is not consistent with legislative requirements or local laws.		Reduction		4.00	3.00	12.00	High	4.00	2.00	8.00	Moderate	4.00	2.00	8.00	Moderate								

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions							
				Risk Title	Causes	Resulting In	Risk Treatment																						
					Inherent	Inherent	Inherent	Revised	Target	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Risk Action Title	Resource Requirements	Responsible Officer	End Date	Revised End Date	Percentage Complete	Progress Comments	Completed Date
CR-111	Compliance		Corporate Risk	Inadequate Document Management Processes	<ul style="list-style-type: none">Spreadsheet/Database/Document corruption or lossOutdated record keeping practices / incompatible systemsInadequate access and / or security levelsLack of system/application knowledgeInadequate Storage facilities (including climate control)High workloads and time pressuresHigh Staff turnoverIncomplete authorisation trails	<p>Failure to adequately capture, store, archive, retrieve, provision and / or disposal of documentation. Breach in legislation</p> <ul style="list-style-type: none">Contact lists.Procedural documents.'Application' proposals/documents.Contracts.Forms, requests or other documents.				3.00	4.00	12.00	High	3.00	3.00	9.00	Moderate	3.00	3.00	9.00	Moderate	Award Tender Archive Shed		Lisa Davis	01/07/2018		100%		
																					Sian Appleton	28/06/2019		100%					
																					Bhavesht Modi	28/06/2019		10%					
																					Lisa Davis	28/06/2019		50%					
																					Lisa Davis	28/03/2019		1%					
																					Amanda Curby	28/06/2019		10%					

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions								
				Risk Title	Causes	Resulting In	Risk Treatment																							
					Inherent	Inherent	Inherent	Revised	Target	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating									
CR-114	Financial Impact		Corporate Risk	Inadequate Project / Change Management	<ul style="list-style-type: none">- Lack of communication and consultation- Shire growth (too many projects)- Lack of investment- Inadequate monitoring and review- Ineffective management of expectations (scope creep)- Project risks not managed effectively- Inadequate project planning (resources/budget)- Lack of Project methodology knowledge and reporting requirements	<ul style="list-style-type: none">• Inadequate Change Management Framework to manage and monitor change activities.• Inadequate understanding of the impact of project change on the business.• Failures in the transition of projects into standard operations.• Failure to implement new systems• Failures of IT Project Vendors/Contractors This includes Directorate or Service Unit driven change initiatives except new Plant & Equipment purchases. Refer "Inadequate Asset Sustainability Practices"		Reduction	Reduction		4.00	3.00	12.00	High	4.00	2.00	8.00	Moderate	4.00	2.00	8.00	Moderate	Formalise the Internal Project Management Methodology (Procedures and Reporting)		Vacant - Manager Assets & Procurement	28/06/2019		10%		

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions							
				Risk Title	Causes	Resulting In	Risk Treatment																						
					Inherent	Inherent	Inherent	Revised	Target	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Risk Action Title	Resource Requirements	Responsible Officer	End Date	Revised End Date	Percentage Complete	Progress Comments	Completed Date
CR104	Representational - External		Corporate Risk	Errors, Omissions and Delays	Human error Inadequate procedures or training Lack of staff or trained staff Incorrect Information Miscommunication		Reduction	Reduction	3.00	3.00	9.00	Moderate	3.00	3.00	9.00	Moderate	3.00	3.00	9.00	Moderate	Identify and develop document procedures where relevant for Technical Services		Raees Rasool	28/06/2019		10%			
CR-106	Compliance		Corporate Risk	Failure to fulfill Statutory, Regulatory or Compliance Requirements	· Lack of Legal Expertise · Councilor Turnover · Breakdown in tender process · Ineffective monitoring of changes in legislation · Lack of training, awareness and knowledge · Staff Turnover · Inadequate record keeping · Ineffective processes	Fines, penalties, litigation or increase scrutiny from regulators or agencies.	Reduction		3.00	3.00	9.00	Moderate	3.00	3.00	9.00	Moderate	3.00	3.00	9.00	Moderate	Review Changes to current Privacy Act		Kylie Bergmann	12/09/2018		100%		12/09/2018	

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions												
				Risk Title	Causes	Resulting In	Risk Treatment																											
					Inherent	Inherent	Inherent	Revised	Target	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Risk Action Title	Resource Requirements	Responsible Officer	End Date	Revised End Date	Percentage Complete	Progress Comments	Completed Date					
CR-107	Representational - Internal	Compliance Environmental Financial Impact Health Property Representation I - External Service Interruption	Corporate Risk	Employment Practices	<ul style="list-style-type: none">- Leadership failures- Ineffective performance management programs or procedures.- Available staff / volunteers are generally highly transient.- Ineffective training programs or procedures.- Single Person Dependencies- Limited staff availability - mining / private sectors (pay & conditions).- Poor internal communications / relationships- Inadequate Induction practices.	<ul style="list-style-type: none">• Breaching employee regulations (excluding OH&S).• Discrimination, Harassment & Bullying in the workplace.• Poor employee wellbeing (causing stress)• Key person dependencies without effective succession planning in place.• Induction issues.• Terminations (including any tribunal issues).• Industrial activity.		Reduction			3.00	3.00	9.00	Moderate	3.00	3.00	9.00	Moderate	3.00	3.00	9.00	Moderate	3.00	3.00	9.00	Moderate	Implement HR Module with synergy (training component)		Vacant - Manager Human Resources	28/06/2019		10%		
																						Major HR Policy Review		Vacant - Manager Human Resources	28/06/2019		10%							
																						Review Induction process to consider follow up sessions		Vacant - Manager Human Resources	28/06/2019		0%							
																						Review Performance Review Process		Vacant - Manager Human Resources	28/06/2019		0%							
																						Review Strategic Workforce Plan		Vacant - Manager Human Resources	31/01/2019		100%		31/01/2019					

CR-109	Service Interruption	Compliance Environmental Financial Impact Health Property Representations - External Representations - Internal	Corporate Risk	Business and Community disruption	<div><div><div><div>Cyclone, Storm Surges, Fire, Earthquake Extended power outage Terrorism / Sabotage / Criminal Behaviour Economic Factors Epidemic / Pandemic Loss of Key Staff</div></div><div>Damage to buildings, property, plant & equipment (all assets). This could be a natural disaster, weather event, or an act carried out by an external party (inc. vandalism). This includes:<div><div>Lack of (or inadequate) emergency response / business continuity plans.</div><div>Lack of training to specific individuals or availability of appropriate emergency response.</div><div>Failure in command and control functions as a result of incorrect initial assessment or untimely awareness of incident.</div><div>Inadequacies in environmental awareness and monitoring of fuel loads, curing rates etc.</div></div></div><div>This does not include disruptions due to IT Systems or infrastructure related failures - refer "Failure of IT & communication systems and infrastructure".</div></div></div>	Acceptance		5.50	1.00	5.50	Moderate	5.50	1.00	5.50	Moderate	5.50	1.00	5.50	Moderate	Continue Skills Training (Staff)		Vacant - Manager Human Resources	28/06/2019		10%		
																				Continue Skills Training (volunteers)		Brent Stein	28/06/2019		0%		
																				Develop Internal BCM procedures and complete desktop exercise		Brent Stein	28/06/2019		10%		
																				Develop Internal BCM procedures and complete desktop scenario exercise (IT)		Slan Appleton	28/06/2019		50%		
																				Review current LEMC Plans		Brent Stein	28/06/2019		10%		

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions							
				Risk Title	Causes	Resulting In	Risk Treatment																						
					Inherent	Inherent	Inherent	Revised	Target																				
CR-112	Financial Impact		Corporate Risk	Inadequate Asset Sustainability Practices	<div><div><div>Skill level & behaviour of operators</div><div>Unavailability of parts</div><div>Lack of trained staff</div><div>Lack of formal or appropriate scheduling (maintenance / inspections)</div><div>Outdated equipment</div><div>Unexpected breakdowns</div></div><div>Inadequate design (not fit for purpose)</div><div>Ineffective usage (down time)</div><div>Outputs not meeting expectations</div><div>Inadequate maintenance activities.</div><div>Inadequate financial management and planning.</div><div>It does not include issues with the inappropriate use of the Plant, Equipment or Machinery. Refer Misconduct.</div></div>			Reduction	3.00	3.00	9.00	Moderate	3.00	2.00	6.00	Moderate	3.00	2.00	6.00	Moderate	Develop levels of service for various assets (demonstrating value for money /community expectations)		Raees Rasool	30/06/2019			75%		
																			Ensure all shire owned lights and recycled water mains are included in asset register		Bhavesb Modi				100%				
																			Ensure vehicle management processes are covered in induction process (new/existing staff)		Oliver Schaer	28/06/2019			10%				
																			Implement Asset Management System for Buildings and Residences		Ben Lewis	30/06/2019			75%				
																			Review Asset management Plans to ensure consistency and alignment with LTFP		Raees Rasool	30/06/2019			50%				

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions								
				Risk Title	Causes	Resulting In	Risk Treatment																							
					Inherent	Inherent	Inherent	Revised	Target	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Risk Action Title	Resource Requirements	Responsible Officer	End Date	Revised End Date	Percentage Complete	Progress Comments	Completed Date	
CR-113	Representational - External		Corporate Risk	Inadequate Engagement Practices	<ul style="list-style-type: none">- Budget / funding issues- Short lead times- Media attention- Miscommunication / Poor communication- Inadequate documentation or procedures- Relationship breakdowns with community groups	<ul style="list-style-type: none">• Lack of consultation on• Following up on any access & inclusion issues.• Infrastructure Projects.• Regional or District Committee attendance.• Local Planning initiatives.• Strategic Planning initiatives <p>This does not include instances whereby Community expectations have not been met for standard service provisions such as Community Events, Library Services and / or Bus/Transport services.</p>		Avoidance			3.00	3.00	9.00	Moderate	3.00	2.00	6.00	Moderate	3.00	2.00	6.00	Moderate	Develop communication policy		Amanda Curby	28/06/2019		75%		
																												</		

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions							
				Risk Title	Causes	Resulting In	Risk Treatment																						
					Inherent	Inherent	Inherent	Revised	Target	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Risk Action Title	Resource Requirements	Responsible Officer	End Date	Revised End Date	Percentage Complete	Progress Comments	Completed Date
CR-115	Representational - External	Financial Impact	Corporate Risk	Ineffective Management of Facilities / Venues / Events	• Double bookings • Animal contamination. • Illegal alcohol consumption • Failed chemical / health requirements. • Managing bond payments • Access to facilities / venues.	• Inadequate procedures in place to manage the quality or availability. • Ineffective signage • Booking issues • Financial interactions with hirers / users • Oversight / provision of peripheral services (eg. cleaning / maintenance)		Reduction		3.00	3.00	9.00	Moderate	3.00	2.00	6.00	Moderate	3.00	2.00	6.00	Moderate	Assess liability risks associated with fitness Centre (24 hour access) and determine response		Simmons Van Buerle	28/06/2019		75%		
																						Formalise annual audits of venues, facilities and equipment		Simmons Van Buerle	28/06/2019		10%		
																						Implement training and recruitment procedures to secure qualified staff		Vacant - Manager Human Resources	28/06/2019		10%		
CR-118	Compliance		Corporate Risk	Airport Security Non-Compliance	Inadequate controls and procedures Ineffective oversight and monitoring Untimely intervention and/or corrective actions	• Breach of regulatory compliance and the integrity of aviation and public security • Lack of monitoring and identification of regulatory and security requirements. • Lack of corrective action to rectify identified shortcomings and hazards. • Slow response to security breaches.		Reduction		3.00	3.00	9.00	Moderate	3.00	2.00	6.00	Moderate	3.00	2.00	6.00	Moderate	Completion of Risk Assessment Data		George Christianson	28/06/2019		0%		
																						Hazard and Risk Management Plans		George Christianson	28/06/2019		0%		
																						Internal and External audits and Inspections		George Christianson	28/06/2019		0%		
																						Monthly and Annual Reviews		George Christianson	28/06/2019		0%		
																						Security Committee Reviews		George Christianson	28/06/2019		0%		

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions							
				Risk Title	Causes	Resulting In	Risk Treatment																						
					Inherent	Inherent	Inherent	Revised	Target	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Risk Action Title	Resource Requirements	Responsible Officer	End Date	Revised End Date	Percentage Complete	Progress Comments	Completed Date
CR-100	Compliance	Financial Impact	Corporate Risk	Misconduct	Lack of Training Changes of job titles Delegated authority process inadequately implemented Disgruntled employees Lack of understanding Poor internal checks (PO's and delegated authority) Password sharing	Relevant authorisations not obtained Distributing confidential information Accessing systems and / or applications without correct authority to do so Theft by an employee Collusion between internal and external parties		Reduction	Reduction	2.00	3.00	6.00	Moderate	2.00	2.00	4.00	Low	2.00	2.00	4.00	Low	Review Annually		Kylie Bergmann	28/06/2019		10%		
																						Review Annually		Dawn Ronchi	28/06/2019		10%		
CR-117	Compliance		Corporate Risk	Airport Safety Non-Compliance	Inadequate controls and procedures Ineffective oversight and monitoring Untimely intervention and/or corrective actions	• Ensure regulatory compliance of airport infrastructure and operational safety. • Monitoring and identification of regulatory and safety requirements. • Corrective action to rectify identified shortcomings and hazards • Response to Emergency Situations		Reduction		3.00	2.00	6.00	Moderate	3.00	1.00	3.00	Low	3.00	1.00	3.00	Low	Completion of Risk Assessment Data		George Christianson	28/06/2019		10%		
																						Hazard and Risk Management Plans		George Christianson	28/06/2019		0%		
																						Internal and External Audits & Inspections		George Christianson	28/06/2019		0%		
																						Monthly and Annual Review		George Christianson	28/06/2019		0%		

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions									
				Risk Title	Causes	Resulting In	Risk Treatment																								
					Inherent	Inherent	Inherent	Revised	Target	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Risk Action Title	Resource Requirements	Responsible Officer	End Date	Revised End Date	Percentage Complete	Progress Comments	Completed Date		
CR-110	Service Interruption	Financial Impact	Corporate Risk	Failure of IT &/or Communication Systems and Infrastructure	<div><div>Weather impacts</div><div>Power failure</div><div>Power outage at service provider</div><div>Infrastructure breakdown such as landlines, radio communications.</div><div>Out dated / inefficient hardware</div><div>Lack of training</div><div>Incompatibility between operating system and Microsoft</div><div>Software vulnerability (e.g. MS Access)</div></div>	<div><div>This may or may not result in IT Disaster Recovery Plans being invoked. Examples include failures or disruptions caused by:</div><div>Hardware &/or Software</div><div>IT Network</div><div>Failures of IT Vendors</div></div> <div><div>This also includes where poor governance results in the breakdown of IT maintenance such as;</div><div>Configuration management</div><div>Performance Monitoring</div><div>IT Incident, Problem Management & Disaster Recovery Processes</div></div> <div><div>This does not include new system implementations - refer "Inadequate Project / Change Management".</div></div>		Reduction			3.00	1.00	3.00	Low	3.00	1.00	3.00	Low	3.00	1.00	3.00	Low									

Risk Code	Primary Category / Sub Category	Secondary Categories	Risk Type	RISK IDENTIFICATION			EVALUATION			Inherent				Revised				Target				Solutions							
				Risk Title	Causes	Resulting In	Risk Treatment																						
					Inherent	Inherent	Inherent	Revised	Target	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Consequence	Likelihood	Risk Rating Score	Risk Rating	Risk Action Title	Resource Requirements	Responsible Officer	End Date	Revised End Date	Percentage Complete	Progress Comments	Completed Date
OR-102	Compliance	Environmental Financial Impact Health Property Representation I - External Representation I - Internal Service Interruption	Operational Risk	jfdkfl	sdfsd	sdfsd				3.00	4.00	12.00	High																

6 CONFIDENTIAL MATTERS BEHIND CLOSED DOORS

7 GENERAL BUSINESS

8 DATE OF NEXT MEETING

23 August 2019.

9 CLOSURE