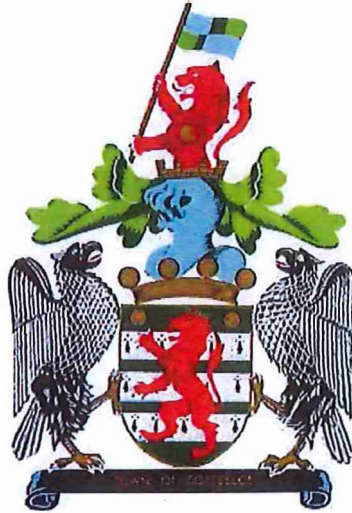


# TOWN OF COTTESLOE



## AUDIT COMMITTEE

# MINUTES

AUDIT COMMITTEE  
HELD IN THE  
Council Chambers, Cottesloe Civic Centre  
109 Broome Street, Cottesloe  
4:30pm Tuesday, 22 November 2022

A blue handwritten signature, appearing to be 'Matthew Scott', is written over a horizontal line.

**MATTHEW SCOTT**  
Chief Executive Officer

28 November 2022

**TABLE OF CONTENTS**

<b>ITEM</b>	<b>SUBJECT</b>	<b>PAGE NO</b>
<b>1</b>	<b>DECLARATION OF MEETING OPENING/ANNOUNCEMENT OF VISITORS .....</b>	<b>1</b>
	<b>1.1 ACKNOWLEDGEMENT OF COUNTRY .....</b>	<b>1</b>
<b>2</b>	<b>DISCLAIMER.....</b>	<b>1</b>
<b>3</b>	<b>ANNOUNCEMENTS BY PRESIDING MEMBER WITHOUT DISCUSSION .....</b>	<b>1</b>
<b>4</b>	<b>ATTENDANCE.....</b>	<b>1</b>
<b>5</b>	<b>DECLARATION OF INTERESTS.....</b>	<b>1</b>
<b>6</b>	<b>CONFIRMATION OF MINUTES.....</b>	<b>2</b>
<b>7</b>	<b>PRESENTATIONS .....</b>	<b>2</b>
<b>8</b>	<b>REPORTS.....</b>	<b>2</b>
	<b>8.1 REPORTS OF OFFICERS.....</b>	<b>2</b>
	8.1.1 LOCAL GOVERNMENT (AUDIT) REGULATION 17 REVIEW	3
	8.1.2 RISK MANAGEMENT FRAMEWORK	6
	8.1.3 BUSINESS CONTINUITY PLAN	9
	<b>8.2 ITEMS FOR DISCUSSION.....</b>	<b>11</b>
	8.2.1 COMPLIANCE CALENDAR	11
	8.2.2 AUDIT COMMITTEE RESOLUTION DATABASE	11
<b>9</b>	<b>GENERAL BUSINESS.....</b>	<b>11</b>
	<b>9.1 COMMITTEE MEMBERS .....</b>	<b>11</b>
	<b>9.2 OFFICERS.....</b>	<b>11</b>
<b>10</b>	<b>MEETING CLOSED TO PUBLIC.....</b>	<b>11</b>
	<b>10.1 MATTERS FOR WHICH THE MEETING MAY BE CLOSED.....</b>	<b>11</b>
<b>11</b>	<b>NEXT MEETING .....</b>	<b>11</b>
<b>12</b>	<b>MEETING CLOSURE .....</b>	<b>12</b>

**1 DECLARATION OF MEETING OPENING/ANNOUNCEMENT OF VISITORS**

The Presiding Member announced the meeting opened at 4:31pm and read the Acknowledgement of Country.

**1.1 ACKNOWLEDGEMENT OF COUNTRY**

I would like to begin by acknowledging the Whadjuk Nyoongar people, Traditional Custodians of the land on which we meet today, and pay my respects to their Elders past and present. I extend that respect to Aboriginal and Torres Strait Islander peoples here today.

**2 DISCLAIMER**

The Presiding Member drew attention to the Town’s Disclaimer.

**3 ANNOUNCEMENTS BY PRESIDING MEMBER WITHOUT DISCUSSION**

The Presiding Member announced that Cr MacFarlane will be joining the meeting remotely via Microsoft Teams and that the meeting is being recorded, solely for the purpose of confirming the correctness of the Minutes.

**4 ATTENDANCE**

**Members**

Cr Craig Masarei	Elected Member (Presiding Member)
Cr Paul MacFarlane	Elected Member (via Microsoft Teams)
Cr Brad Wylynko	Elected Member
Mr Andrew Dimsey	Community Representative
Mr Ian McKenzie	Community Representative

**Officers**

Mr Matthew Scott	Chief Executive Officer
Mr Shane Collie	Director Corporate Services and Governance
Ms Sarah Jessop	Finance Manager
Ms Irene Wai Shan Au-Yeung	Assistant Finance Manager
Ms Kate Saunders	Executive Services Officer

**5 DECLARATION OF INTERESTS**

Nil.

**6 CONFIRMATION OF MINUTES**

**AC008/2022**

**Moved Cr Masarei**

**Seconded Mr McKenzie**

**That the Minutes of the Audit Committee Meeting held on Wednesday 8 June 2022 be confirmed as a true and accurate record.**

**Carried 4/0**

**For: Presiding Member Masarei, Cr MacFarlane, Mr Dimsey and Mr McKenzie**

**Against: Nil**

Cr Wylenko was absent from the 8 June 2022 meeting. He did not vote on this item.

**7 PRESENTATIONS**

Nil

**8 REPORTS**

**8.1 REPORTS OF OFFICERS**

**8.1.1 LOCAL GOVERNMENT (AUDIT) REGULATION 17 REVIEW**

**Directorate:** Corporate and Community Services  
**Author(s):** Shane Collie, Director Corporate and Community Services  
**Authoriser(s):** Matthew Scott, Chief Executive Officer  
**File Reference:** D22/42988  
**Applicant(s):**  
**Applicant(s) Proponents:**  
**Author Disclosure of Interest:** Nil

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**SUMMARY**

A recent Local Government (Audit) Regulation 17 Review has been undertaken and the Review Report is now available for submission to the Audit Committee.

**OFFICER RECOMMENDATION IN BRIEF**

That the Audit Committee adopt the Review and recommend to Council that the Review be endorsed by Council.

**BACKGROUND**

Mr Michael Sparks from MS Consulting was engaged to undertake the Audit Regulation 17 Review, as required by legislation below. The Review is complete and the report is submitted to the Audit Committee as required by legislation.

**OFFICER COMMENT**

The Review covered three areas of the Town's internal operations:

(a) Risk Management

In brief the Report in the Risk Management area covered the Risk Management Framework (recently reviewed and developed), Business Continuity Plan (recently developed also), material operating risks, current key risks, insurable risks, internal control system, purchasing and unusual transactions, Audit Committee function and fraud and misconduct risks.

(b) Internal Controls

Matters covered include role segregation, delegations of authority, effectiveness of Policy and Process documents, Training and Development, Approval processes, Management Reviews internally and externally, security and records access, security of IT systems, financial controls and cash, finance and budget, Account payments and audit/legal matters.

(c) Legislative Compliance

Matters covered included Compliance Framework, complaints, adverse financial trends, management disclosures, ethical risks, legislative and regulatory change and conflicts of interest.

The recommended actions from the Report are contained on pages 15 and 16 and all recommendations are proposed to be implemented. There were a number of points raised which were/are in the process of being attended to in any event and this Report adds weight to those actions already underway.

### **ATTACHMENTS**

**8.1.1(a)      Audit Regulation 17 Review [under separate cover]**

### **CONSULTATION**

All sections of the organisation internally were consulted as part of the Report process.

### **STATUTORY IMPLICATIONS**

Local Government (Audit) Regulations 1996

17.    *CEO to review certain systems and procedures*

(1)    *The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to —*

(a)    *risk management; and*

(b)    *internal control; and*

(c)    *legislative compliance.*

(2)    *The review may relate to any or all of the matters referred to in subregulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review not less than once in every 3 financial years.*

(3)    *The CEO is to report to the audit committee the results of that review.*

### **POLICY IMPLICATIONS**

- Updated Risk Management Policy is recommended for adoption by Council.
- Consideration of a Whistleblowing Policy or Procedure is recognised as a priority and is to be actioned.
- Adopted Policies in use list to be updated as recommended.
- Records Management Policy to be reviewed.

### **STRATEGIC IMPLICATIONS**

This report is consistent with the Town's *Strategic Community Plan 2013 – 2023*.

Priority Area 6: Providing open and accountable local governance

Major Strategy 6.2: Continue to deliver high quality governance, administration, resource management and professional development.

**RESOURCE IMPLICATIONS**

Resource requirements are in accordance with the existing budgetary allocation.

**ENVIRONMENTAL SUSTAINABILITY IMPLICATIONS**

There are no perceived sustainability implications arising from the officer's recommendation.

**VOTING REQUIREMENT**

Simple Majority

**AC009/2022**

**OFFICER AND COMMITTEE RECOMMENDATION**

**Moved Cr Masarei                      Seconded Mr Dimsey**

**THAT the Audit Committee recommends to Council that the Local Government (Audit) Regulation 17 Review be adopted and submitted to Council for endorsement, with a timetable to implement the recommendations.**

**Carried 5/0**

**8.1.2 RISK MANAGEMENT FRAMEWORK**

**Directorate:** Corporate and Community Services  
**Author(s):** Shane Collie, Director Corporate and Community Services  
**Authoriser(s):** Matthew Scott, Chief Executive Officer  
**File Reference:** D22/42990  
**Applicant(s):**  
**Applicant(s) Proponents:**  
**Author Disclosure of Interest:** Nil

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**SUMMARY**

For the Audit Committee to note the updated Risk Register and Risk Summary Report for the Town and adopt the updated Risk Management Policy.

**OFFICER RECOMMENDATION IN BRIEF**

That the Audit Committee recommend to Council the adoption of the updated Risk Management Policy for the Town and note the updated Risk Register and Risk Summary Report.

**BACKGROUND**

The Town's Risk Management framework was first developed in 2019 and is due for review. Former LGIS officer Mr Michael Sparks was engaged to conduct a Workshop with Senior Staff to update the Town's Risk Register and Risk Management Policy. The Workshop was held on 13 July 2022 and the aims were achieved and the resulting documents are submitted to the Audit Committee.

**OFFICER COMMENT**

The Workshop concentrated on three identified areas:

**1. Risk Register**

This document has been updated and contains 15 different Risk Profiles. There a number of identified risk matters contained within that require action. As these are actioned they will be crossed off and reporting back to the Audit committee will occur.

**2. Risk Summary Report**

This document is the brief Report provided on the Workshop and again contains a number of identified risk matters that require action. As these are actioned they will be crossed off and reporting back to the Audit committee will occur.

**3. Risk Management Policy**

This is the updated Risk Management Policy for the Town. It differs little from that in place before and identifies Risk Consequences, Likelihood and Acceptance Criteria.



#### **4. General Comments**

The following general comments are made in response to feedback received from Audit Committee members who were present at the postponed September Audit Committee meeting:

- Strategic Organisational Risks. It is the intention to include these when Council embarks on its Strategic Community Plan review in the coming months.
- Areas noted as “Inadequate”. Any area that is highlighted as “Inadequate” is to be addressed and actioned by putting in place actions to make the area “Adequate”. That is any rating of inadequate is the trigger to make it adequate.
- Request was received to Include a description on how the overall rating for an areas is based on the findings across the entire area. That is if most items are adequate, the overall rating will be adequate. Additionally a description of where some inadequacies are accepted due to the context/size of the organisation. For example, single person dependencies of the workforce. A control measure would be to employ more staff, however once weighed up against the likelihood and consequences the cost is not justifiable. These adjustments can made when the Plan is next reviewed.
- Request was received to Incorporate a new Risk section into the Council report template, with the rating to correlate with the risk rating table from the Framework and allow for commentary. It is felt that this does not add value to Council reports which are already lengthy with numerous headings. If a specific risk is identified the Officer Report should reference it in the commentary in the Report.
- Review of Risk Register Annually. The Audit Committee are tasked to review the Risk Register annually and have the authority to raise additional risks, plus that they are responsible for reporting risk matters back to Council. This will form part of the Town’s Compliance Calendar, which is updated and reported to the Audit Committee at each meeting.

#### **ATTACHMENTS**

- 8.1.2(a) Risk Management Policy [under separate cover]**
- 8.1.2(b) Risk Profile and Reporting Register [under separate cover]**
- 8.1.2(c) Operational Risk Assessment Summary [under separate cover]**

#### **CONSULTATION**

Senior Staff.

Audit Committee members.

**STATUTORY IMPLICATIONS**

*Local Government (Audit) Regulations 1996.*

**POLICY IMPLICATIONS**

The Recommendation to this Report is for the adoption of an updated Risk Management Policy.

**STRATEGIC IMPLICATIONS**

This report is consistent with the Town's *Strategic Community Plan 2013 – 2023*.

Priority Area 6: Providing open and accountable local governance

Major Strategy 6.2: Continue to deliver high quality governance, administration, resource management and professional development.

**RESOURCE IMPLICATIONS**

Resource requirements are in accordance with the existing budgetary allocation.

**ENVIRONMENTAL SUSTAINABILITY IMPLICATIONS**

There are no perceived sustainability implications arising from the officer's recommendation.

**VOTING REQUIREMENT**

Simple Majority

**AC010/2022**

**OFFICER AND COMMITTEE RECOMMENDATION**

**Moved Cr Masarei**

**Seconded Mr Dimsey**

**THAT the Audit Committee recommends to Council that:**

- 1. The updated Risk Management Policy for the Town be adopted;**
- 2. The updated Risk Register and Risk Summary Report be noted;**
- 3. That Council participate in a strategic risk management discussion as part of the process to development of the new Strategic Community Plan; and**
- 4. Consideration be given to including a section on Risk Management in future Council Reports.**

**Carried 5/0**

**8.1.3 BUSINESS CONTINUITY PLAN**

**Directorate:** Corporate and Community Services  
**Author(s):** Shane Collie, Director Corporate and Community Services  
**Authoriser(s):** Matthew Scott, Chief Executive Officer  
**File Reference:** D22/42994  
**Applicant(s):**  
**Applicant(s) Proponents:**  
**Author Disclosure of Interest:** Nil

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**SUMMARY**

For the Audit Committee and Council to note the completed Business Continuity Plan (BCP) prepared and now in place for the Town.

**OFFICER RECOMMENDATION IN BRIEF**

That the Audit Committee note the finalisation of the Town's BCP.

**BACKGROUND**

While not a statutory requirement, the production of a BCP is considered an essential Management Tool and best practice throughout the local government and wider business industry. A BCP is one of many important documents developed to assist in the future Planning and reaction to emergency circumstances should they arise.

MS Consultants were engaged to develop the BCP which is funded through the WA Local Government Association's LGIS (Insurance) arm. MS Consultants (Mr Michael Sparks) has been a long term employee of LGIS in the Risk Management area and is appropriately qualified to produce a BCP for the Town.

**OFFICER COMMENT**

The BCP is an internal document not dissimilar to a procedures/process manual. There is no requirement for the Audit Committee or Council to adopt the Plan however it is important that the Audit Committee are aware that the Plan has been developed and will remain a resource for use in an emergency if required.

A separate Information Technology (IT) Plan also forms part of the Town's front line protection in the event of a major incident. The IT Plan is developed and implemented by the Town's IT Contractor Managed IT Services and would be read in conjunction with the BCP. Again there is no requirement for Council to adopt the IT Plan as it is effectively a blueprint of how Managed IT would work and respond on IT matters in the event of a major incident.

**ATTACHMENTS**

**8.1.3(a) Business Continuity Plan 2022 [under separate cover]**

**CONSULTATION**

Senior Staff.

Managed IT.

**STATUTORY IMPLICATIONS**

Nil.

**POLICY IMPLICATIONS**

There are no perceived Policy implications arising from the officer's recommendation.

**STRATEGIC IMPLICATIONS**

This report is consistent with the Town's *Strategic Community Plan 2013 – 2023*.

Priority Area 6: Providing open and accountable local governance

Major Strategy 6.2: Continue to deliver high quality governance, administration, resource management and professional development.

**RESOURCE IMPLICATIONS**

The BCP is funded through the WA Local Government Association.

**ENVIRONMENTAL SUSTAINABILITY IMPLICATIONS**

There are no perceived sustainability implications arising from the officer's recommendation.

**VOTING REQUIREMENT**

Simple Majority

**AC011/2022**

**OFFICER AND COMMITTEE RECOMMENDATION**

Moved Cr Masarei

Seconded Cr Wylynko

**THAT the Audit Committee recommends to Council that the Town's recently developed Business Continuity Plan be noted.**

**Carried 5/0**

**8.1.4 MEETING DATES 2023**

That the Audit Committee confirms the meeting dates for 2023 and advertises the dates on the Town of Cottesloe website.

**AC012/2022**

**Moved Cr Masarei                      Seconded Mr Dimsey**

**AUDIT COMMITTEE RECOMMENDS**

- 1. THAT the Audit Committee recommends that Council CONFIRMS the following dates for Audit Committee meetings for 2023:**
  - **Monday, 20 February at 4:30pm**
  - **Monday, 12 June at 4:30pm**
  - **Monday, 4 September at 4:30pm**
  - **Monday, 4 December at 4:30pm**
- 2. And THAT the dates be advertised on the Town of Cottesloe website.**

**Carried 5/0**

**8.2 ITEMS FOR DISCUSSION****8.2.1 COMPLIANCE CALENDAR**

**Attachments: 8.2.1(a) Compliance Calendar [under separate cover]**

The Compliance Calendar – November 2022 is provided for the information of the Audit Committee. Actions are underway on matters outstanding.

**8.2.2 AUDIT COMMITTEE RESOLUTION DATABASE**

**Attachments: 8.2.2(a) Audit Committee Resolution Database [under separate cover]**

The Audit Committee Resolution Database – November 2022 provides an update on Council resolutions put forward by the Audit Committee.

**9 GENERAL BUSINESS****9.1 COMMITTEE MEMBERS****9.2 OFFICERS****10 MEETING CLOSED TO PUBLIC****10.1 MATTERS FOR WHICH THE MEETING MAY BE CLOSED****11 NEXT MEETING**

Monday, 20 February 2023 at 4:30pm.

**12 MEETING CLOSURE**

The Presiding Member announced the meeting closed at 5:18pm.

# **TOWN OF COTTESLOE**



# **ATTACHMENTS**

**AUDIT COMMITTEE – 22 NOVEMBER 2022**

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## TABLE OF CONTENTS

---

ITEM	SUBJECT	PAGE NO
<b>8.1 REPORTS OF OFFICERS</b>		
<b>OFFICER REPORTS</b>		
8.1.1	LOCAL GOVERNMENT (AUDIT) REGULATION 17 REVIEW	
	8.1.1(a) AUDIT REGULATION 17 REVIEW .....	3
8.1.2	RISK MANAGEMENT FRAMEWORK	
	8.1.2(a) RISK MANAGEMENT POLICY .....	20
	8.1.2(b) RISK PROFILE AND REPORTING REGISTER.....	26
	8.1.2(c) OPERATIONAL RISK ASSESSMENT SUMMARY .....	44
8.1.3	BUSINESS CONTINUITY PLAN	
	8.1.3(a) BUSINESS CONTINUITY PLAN 2022 .....	47
<b>ITEMS FOR DISCUSSION</b>		
8.2.1	COMPLIANCE CALENDAR	
	8.2.1(a) COMPLIANCE CALENDAR .....	84
8.2.2	AUDIT COMMITTEE RESOLUTION DATABASE	
	8.2.2(a) AUDIT COMMITTEE RESOLUTION DATABASE.....	95



# TOWN OF COTTESLOE



## AUDIT COMMITTEE

# ATTACHMENT

### ITEM 8.1.1A: AUDIT REGULATION 17 REVIEW

September 2022

# Town of Cottesloe

Regulation 17 Review Report of the Local Government  
(Audit) Regulations 1996

Michael Sparks  
MS Consulting

## Foreword

The goal of this review is to assist the Chief Executive Officer (CEO) in establishing the appropriateness and effectiveness of the Town's systems and procedures in relation to Risk Management, Internal Control and Legislative Compliance.

The report is based on prevailing conditions at the time of the review and information provided by Town of Cottesloe personnel. It does not imply that no other conditions exist and no liability shall be assumed by virtue of these observations.

This report relates only to items specified within and should not be used for any other purpose. It is not intended to replicate or question the validity of the Town's recently published Financial Management Review in respect to Regulation 5(2)(c).

Unless otherwise noted, reports, policies, procedures and processes are deemed to be appropriate and in accordance with good practice.

## Background

Amendments to the Local Government (Audit) Regulations 1996 came into effect on 8 February 2013 and introduced the following provisions:

17. CEO to review certain systems and procedures

- (1) The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to —
  - (a) Risk Management; and
  - (b) Internal Control; and
  - (c) Legislative Compliance.
- (2) The review may relate to any or all of the matters referred to in sub-regulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review at least once every 3 calendar years.
- (3) The CEO is to report to the Audit Committee the results of that review.

The Town was unable to provide evidence of the last review.

## Approach

Although there are no mandatory or minimum requirements for conducting the Regulation 17 review, the Department of Local Government and Communities' Operational Guidelines No. 9 (Revised September 2013) provides a useful overview of the issues that should be taken into account when undertaking the review.

These Operational Guidelines have been used as the basis and approach for the Regulation 17 review in this instance.

Findings included within this report are based on site work completed on 25 and 31 August 2022 and on information provided prior, during and subsequent.

Following completion of the review, a priority-rated list of recommendations has been outlined in the section titled '*Recommendations: Regulation 17 Review - September 2022*', on pages 14 and 15 of this report. It is pleasing to report that only three High-Priority Rated matters were noted as part of the review.

## Report compiled by Michael Sparks, MS Consulting, 23 September 2022.

Town of Cottesloe Regulation 17 Review of the Local Government (Audit) Regulations 1996

**Appropriateness and effectiveness of the Town's systems and procedures in relation to Risk Management, Internal Control and Legislative Compliance (Regulation 17 Review).**

**RISK MANAGEMENT**

Risk Management Systems and programs are a key expression of a Town's attitude to effective controls.

**Risk Management Programs assessed were as follows:**

Scope-Risk Management	Evidence
<p>1. Review whether the Town has an <b>effective risk management system</b> and that material operating risks to the Town are appropriately considered;</p>	<p><i>References: Risk Management Policy, Procedures, Risk Profiles Risk Register.</i></p> <p>The Risk Management <b>Framework</b> components appear appropriate, effective, and standardised across all areas.</p> <p>The Framework appears representative of the Town's material risk landscape with an appropriate balance between documentation, structure and process, relative to the Town's current size, resource availability and complexity.</p> <p>The Framework (in MS Office format) includes:</p> <ul style="list-style-type: none"> <li>• Risk Management Policy, inclusive of Risk Assessment and Acceptance Criteria (Updated July 2022 and due for Council approval);</li> <li>• Risk Management Procedures (Updated July 2022);</li> <li>• Operational Risk Profiles Risk Register incorporating individual Control ownership, prioritisation of risk, and actions to mitigate (where appropriate) for consideration and monitoring of material operating risks.</li> </ul> <p>It is noted that the Framework will be reviewed annually to remain current and effective. Last reviewed July 2022. Risk Summary Report from this review to be submitted to Risk and Audit Committee at the next meeting.</p> <p>There is no formal <b>Strategic Risk Register</b> in place. It is noted that the Town's Strategic Community Plan is due for renewal in 2023 and that strategic risks will be assessed in alignment with the updated Strategic Community Plan.</p>
<p>2. Review whether the Town has a current and effective <b>business continuity plan (including disaster recovery) which is tested</b> from time to time;</p>	<p><i>References: Business Continuity Procedures, Business Continuity Response Plan, Teams meeting with Craig Wall- Managed I.T.</i></p> <p>Business Continuity Management <b>Procedures</b> (BCP) (August 2022). Outlines principles to be followed and ongoing procedural requirements to ensure the BCP remains current and effective. Review due August 2025.</p> <p><b>Business Continuity Response Plan</b> developed and tested September 2022. The Plan appears current and effective, containing an Incident Leader Checklist, Communications Guidelines, Contact lists and staff welfare guidance. Review due September 2023. Next response exercise planned for 2024. Extracts of the Plan currently in use during Covid.</p> <p>There is no formal <b>Disaster Recovery</b> plan held by the Town. Disaster Recovery is managed by the Town's Cloud services provider, Managed I.T. (1300 626 243) with the hosting environment based in the Vocus Datacentre in East Perth. Both are current and appear effective.</p> <p>Cyber insurance (LGIS) and Chubb Cyber Incident Response Hotline available in the event of Managed I.T. DR failure.</p>

Town of Cottesloe Regulation 17 Review of the Local Government (Audit) Regulations 1996

Scope-Risk Management	Evidence
<p>3. Assess the <b>internal processes</b> for determining and managing <b>material operating risks</b> in accordance with the Town's identified tolerance for risk, particularly in the following areas;</p> <ul style="list-style-type: none"> <li>a) Potential non-compliance with legislation, regulations, standards and local government policies;</li> <li>b) Important accounting judgements or estimates that prove to be wrong;</li> <li>c) Litigation and claims;</li> <li>d) Misconduct, fraud and theft;</li> <li>e) Significant business risks, recognising responsibility for general or specific risk areas, such as: <ul style="list-style-type: none"> <li>o Environmental risk and work health and safety, and how they are managed by the Town.</li> </ul> </li> </ul>	<p><i>References: Town website listing of 'Policies', LGISWA Scheme Membership Renewal Schedule, Financial Management Review Report.</i></p> <p>Leadership determine and manage material operating risks through maintenance of their internal policy and procedure controls:</p> <ul style="list-style-type: none"> <li>a) <b>Potential non-compliance:</b> Internal and External Audits of compliance, Compliance Audit Return (Department of Local Government and Communities) and Compliance Calendar. Compliance is covered in greater detail under the title 'Legislative Compliance' below.</li> <li>b) <b>Important accounting judgements or estimates that prove to be wrong:</b> None known by Finance Manager and Director Corporate and Community Services. None identified in Financial Management Review Report (Butler Settineri March 2022).</li> <li>c) <b>Litigation and claims:</b> None known by Finance Manager and Director Corporate and Community Services. The Town appear to have a higher probability of litigation in the Planning/Building Approvals area relative to other areas, however are confident this is a reflection of the nature of this risk and not due to weak internal controls.</li> <li>d) <b>Misconduct, fraud and theft:</b> Refer: <i>Risk Management 1</i>, for background on Risk Management Framework.</li> </ul> <p>Code of Conduct for Employees - Adopted 8 September 2021. Section titled: 'Reporting Suspected Unethical, Fraudulent, Dishonest, Illegal or Corrupt Behaviour'.</p> <p>Elected Members, Committee Members and Candidate Code of Conduct, Behaviour Complaints Management Policy on Town website (25 May 2021). Council Members, Committee Members and Candidates Code of Conduct (2021) (18 May 2021).</p> <ul style="list-style-type: none"> <li>e) <b>Significant business risks</b>, Refer: <i>Risk Management 1</i>, for background on <b>Risk Management Framework</b>.</li> </ul> <p>Ongoing management of <b>Environmental compliance</b>. Environmental Health officers employed by the Town. Environmental controls include tree planting program, dune maintenance program, weed and vermin control, illegal dumping collections, foreshore erosion management and engagement with local environment groups.</p> <p>There is no formal Environmental Policy, however environment is reflected in the Town's Risk Management Policy and Procedures as a Measure of Consequence, the Natural Area Management Plan update is due June 2023 and the development of a Green Infrastructure Management Plan is due November 2022.</p> <p>Dedicated <b>Work Health and Safety (WH&amp;S)</b> resource shared with neighbours. Safety audits are conducted and Safe Work Method Statements used to identify and mitigate hazards. Staff have Toolbox / Team safety meetings and receive relevant training such as training in Traffic Management.</p>

Town of Cottesloe Regulation 17 Review of the Local Government (Audit) Regulations 1996

Scope-Risk Management	Evidence
	<p>WH&amp;S is currently being moved to human resources (HR) for oversight and an Occupational Safety and Health (OSH) Register is in place, but not sighted.</p> <p>Internal Emergency Management Framework and External Local Emergency Management Arrangements in place and tested.</p>
<p>4. Ensure the Audit Committee obtain regular risk reports which identify <b>current key risks</b>, the effectiveness of the risk management system in ensuring that <b>these current key risks are monitored and new or emerging risks</b> are identified, mitigated and reported;</p>	<p><i>References: Audit Committee Agendas and Minutes, Operational Risk Report July 2022.</i></p> <p>Audit Committee Minutes for 2019, 2020, 2021 and 2022 were sighted and it appears from those sampled that Risk reports were not previously provided to the Audit Committee on a regular basis. This has been resolved with the review and an update of the Risk Framework.</p> <p>It was stated that the latest summary Operational Risk Report produced in July 2022, is due for submission at the next Audit Committee meeting.</p> <p>The Risk report identified that:</p> <ul style="list-style-type: none"> <li>• There were no operational risks rated Extreme, High, or with a Likelihood considered Almost Certain.</li> <li>• The overall risk trend since the last review appears to have improved in the areas of Asset Management, Environment Management, External Theft and Fraud, Misconduct and Safety and Security.</li> <li>• Nineteen Control improvements or actions were identified to further strengthen risk mitigation.</li> </ul>
<p>5. Assess the adequacy of Town processes to manage <b>insurable risks</b> and ensure the adequacy of insurance cover and the level of <b>self-insurance</b>;</p>	<p><i>Reference: LGISWA Scheme Membership Renewal Acceptance 21 June 2022.</i></p> <p>All insurances are held with LGISWA (insurer of all WA local governments). A review is held with the insurers annually and adjustments to policies and insurance levels made as appropriate.</p> <p>Self-insured items relate to insurance excesses and exclusions.</p>
<p>6. Review the effectiveness of the Town's <b>internal control system</b> with management and the external auditors;</p>	<p><i>References: Operational Risk Summary Report July 2022, Audit Committee Unconfirmed Minutes 14 June 2022, Financial Management Review Report (Butler Settineri March 2022).</i></p> <p>At the last Risk Register review (July 2022), nineteen Control improvements or actions were identified. None were considered to require urgent attention by the Town and will be implemented in prioritised or resources-availability order between September 2022 and August 2023.</p> <p>Design, Operating and Overall Effectiveness of Controls is reflected on Page 11 of the Town's Risk Management Procedures.</p> <p>Financial Management Review Report (external auditors - Butler Settineri, March 2022) states: "In particular, we found that all major controls in relation to financial controls for the receipting of monies, control over expenditure, revenue and record keeping are in place and functional. Therefore, most of our findings in relation to these areas are categorised as "Moderate" or "Minor", which indicate a generally good system of internal control".</p>

Scope-Risk Management	Evidence
<p>7. Assess whether management has controls in place for <b>unusual types of transactions</b> or any potential transactions that might carry <b>more than an acceptable degree of risk</b>;</p>	<p><i>References: Purchasing Policy &amp; Procedures, Delegated Authority Register, Risk Management Framework.</i></p> <p>Purchasing procedures are manually applied and appear effective, with clear segregation of roles and functions, processing and delegated authorisation controls.</p> <p>Procedures are standardised across all areas including Payroll, Projects and Tenders, therefore any unusual types of transactions or any potential transactions that might carry more than an acceptable degree of risk should be detected and managed.</p> <p>Office of the Auditor General (OAG) Engagement Letter and Ernst &amp; Young Audit Plan and Extension Letter sighted.</p> <p>A lease register is used to monitor lessee compliance in respect to the Town's leased properties (not sighted).</p>
<p>8. Assess the Town's <b>procurement framework</b> with a focus on the integrity and transparency of policies and procedures and <b>whether these are being applied</b>;</p>	<p><i>References: Purchasing (Procurement) Framework (Policy, Procedures, Systems, Segregation of duties, Delegated Authority Register), Audit Committee Audit Plan 2022.</i></p> <p><b>Purchasing Policy &amp; Procedures:</b> Recent updates to the Policy (September 2020 and February 2021) reflect currency and priority. It was noted that an amendment to the Town's Purchasing Policy to identify the specific situations under which purchase orders are not required to be issued will be included at the next review. Review of the Purchasing Policy and Procurement Management Plan is due December 2022 (Director of Corporate and Community Services (DCCS)).</p> <p>Purchasing procedures are manually applied, however, appear effective, with clear segregation of roles and functions, processing and authorisation controls. Procedures are standardised across all areas including Payroll, Projects and Tenders.</p> <p>The Audit Committee's Audit Plan 2022 includes an audit focus area relating to compliance with operational procurement control requirements.</p> <p>Application of the <b>Contract Management Framework</b> (register, renewal reminders, contractor insurance checks and reviews of contract arrangements) is managed manually and appears inconsistent across different areas.</p> <p>A dual Administration Support/Contracts Management role reflects the possibility of inadequate resourcing for Contract Management.</p> <p>Contract renewal reminders are not automated or diarised, with reliance for renewals placed on individual staff managing the contract or contractors requesting increased costings at renewal date.</p> <p>The scheduled introduction of the Datascape Enterprise Resource Planning System (ERP) is intended to modernise and put in place a process where this will occur.</p>

Scope-Risk Management	Evidence
	<p>There is no formal generalised risk assessment process in place prior to awarding contracts, though individual Request for Tender documents contain a separate risk assessment process.</p> <p>Contractor insurance checks and reviews of contract arrangements are not consistent.</p> <p>Large construction contract tendering, approval, processing and authorisation controls appear efficient, with Detail Design stage including aspects of any potential heritage or environmental impacts and offsets, and a review of final project deliverables through a Practical Completion Meeting and defect retention bonds (Director Engineering Services (DES)).</p> <p><b>Contract variations</b> processing and authorisation controls appear effective.</p> <p>WALGA e-Quotes Preferred Supplier list is used where appropriate.</p> <p><b>A Procurement Management Plan</b> (Engineering Services V1.2017), and a <b>Contract Management Plan</b> (V1.2019) was sighted, however appears to be used only by Engineering Services and not on a consistent basis. It was stated that these documents were approved by the Audit Committee (DES), however this was not sighted.</p>
<p>9. Should the need arise, assess the <b>Audit Committee's meeting practices</b> with key management, external auditors and Compliance staff, to understand and discuss any changes in the Town's control environment;</p>	<p><i>Reference: Audit Committee Minutes.</i></p> <p>Audit Committee meet four times annually.</p> <p>Audit Committee Minutes for 2019, 2020, 2021 2022 were sighted and it is evident from those sampled that meeting attendees include Town Officers, Community Representatives, External Auditors and Office of the Auditor General representatives.</p>
<p>10. Ascertain whether <b>fraud and misconduct risks</b> have been identified, analysed, evaluated, treated, communicated and monitored and there is <b>regular reporting and ongoing management</b> of fraud and misconduct risks.</p>	<p><i>References: Misconduct Profile (Risk Register). Refer: Purchasing Policy &amp; Procedures (RM 8 above).</i></p> <p>Risk Management Framework includes 'Misconduct' Risk Profile component. Management of fraud and misconduct risks is conducted through:</p> <ul style="list-style-type: none"> <li>• Ongoing Audits by external Auditors and OAG;</li> <li>• Monitoring of budget variances, information technology (IT) security access, segregation of duties, tender and procurement process, accrued leave balances.</li> <li>• Adherence to the Code of Conduct;</li> <li>• Internal and external complaints monitoring.</li> <li>• Police clearances.</li> </ul> <p>Fraud/misconduct is documented in the Town's Code of Conduct, but there is no formal Whistleblowing Policy, Disciplinary Procedures and Misconduct/Fraud/Theft Policy or Procedures.</p>



**INTERNAL CONTROL**

Internal control systems involve policies and procedures that safeguard assets, ensure accurate and reliable financial reporting, promote compliance with legislation and achieve effective and efficient operations applicable to the current size, resource availability and complexity of the Town's operations.

**Internal Controls assessed were as follows:**

Scope-Internal Control	Evidence
<p>1. Review segregation of roles and functions, processing and authorisation controls;</p>	<p><i>References: Purchasing procedures, Payroll process, New employee induction process.</i></p> <p><b>Purchasing</b> procedures are manually applied and appear effective, with clear segregation of roles and functions, processing and delegated authorisation controls. Procedures are standardised across all areas including Projects.</p> <p><b>Payroll</b> process includes; timesheet requiring approval by relevant Manager, overtime requires prior approval and is limited and employee leave balance and rostered day off (RDO) update reports generated. Clear segregation of roles and functions, processing and authorisation controls.</p> <p><b>New employee</b> commencement documentation (Contract, Employee Handbook, IT guidelines, Customer Service Charter, Choice of Super Form, Diversity Survey, Personal details form, Tax Declaration, Superannuation Policy, Choice of Super &amp; Position description) and set up in Authority has clear segregation of roles and functions, processing and authorisation controls.</p>
<p>2. Review Delegations of Authority (completeness and adherence);</p>	<p><i>Reference: Delegated Authority Register 2022/23.</i></p> <p>The delegation is consistent with relevant legislation. Only specific matters under the quoted legislation are delegated and all changes in delegation are approved by Council.</p> <p>Sampled delegations appear valid and appropriate.</p>
<p>3. Review the effectiveness of Policy and Process documentation and Reviews;</p>	<p><i>References: Compliance Calendar, Town website listing of 'Policies', 'Adopted Policies in Use' schedule.</i></p> <p>It was stated that the Town conduct an ongoing rolling review of their policies and processes.</p> <p>'Adopted Policies in Use' schedule (listed as 'Policy Manual Adoption and Review Dates' on website) is used to monitor Town policies, however it does not identify frequency of policy review, next review due date, responsible officer, any related legislation, guidelines or procedures and whether the policy is current, revoked or replaced with a Policy of a different title.</p> <p>Internally, the Policy listing is also not incorporated into the Compliance Calendar for reminder frequency.</p>
<p>4. Assess the effectiveness of training and development plans for staff and elected members;</p>	<p><i>Reference: Governance Officer.</i></p> <p>Elected members training is covered by statute, conducted by Western Australian Local Government Association (WALGA) and all elected members are up to date. Mayor Young is still to finish the last of her training and is aware of this obligation.</p> <p>Staff training is initiated during Performance Reviews or at the request of an employee, is subject to approval after completion of a Training Request Form,</p>

Town of Cottesloe Regulation 17 Review of the Local Government (Audit) Regulations 1996

Scope-Internal Control	Evidence
	and is covered by an annual training budget allocated on an organisation-wide basis that ceases when it is exhausted. It appears appropriate as is not normally fully expended.
5. Assess approval process of documents, letters and financial records;	<p><i>Reference: Director Corporate and Community Services.</i></p> <p>Formally documented approval processes are in place where required by legislation, policy or procedure.</p> <p>No formally documented approval process for other standard documents, letters and financial records. Documents, letters and financial records correspondence sent to an external party is peer-reviewed prior to sending.</p>
6. Assess management reviews in respect to comparison of internal data with <b>external sources of information</b> ;	<p><i>Reference: Director Corporate and Community Services.</i></p> <p>Monitoring of legislative changes through the Department of Local Government.</p> <p>External sources of information include Membership of WALGA for Local Government updates.</p>
7. Assess security controls in respect to direct physical access to <b>assets and records</b> ;	<p><i>References: Risk Register, Senior Records Officer, Recordkeeping Procedure Update 2022, Records Management Policy (August 2013), Annual Report 2021.</i></p> <p><b>Assets</b> are protected through security access controls, such as keys, swipe cards, alarms, closed circuit television (CCTV) and keypad access, dependent on the facility housing those assets.</p> <p>A record of fixed, minor and attractive items is maintained and there is insurance for loss of assets.</p> <p>There is no formal Asset Management Plan or Policy, however management have undertaken to finalise the Town's Property Management Plan, to address the building maintenance schedule (Sept 22, Coordinator Building and Conservation Projects), finalise the Long-Term Financial Plan (October 2022, Director of Corporate and Community Services) and finalise the Asset Management Plan and Incorporate it with LTFP (December 2022, Director of Engineering Services).</p> <p>There is a standardised contractor/visitor sign-in process.</p> <p>Old <b>Records</b> (prior to 2009) are archived offsite in a third party secure facility (ZircoData). All incoming hard copy documents created since 1 January 2009 are digitised in accordance with the requirements of the <i>State Records Commission General Disposal Authority for Source Records</i>. This includes incoming mail.</p> <p>The Town uses HPE Records Manager RM8 (known as TRIM) to manage its hard copy and electronic records. Access to Records is controlled through the use of logins, passwords, user permissions and access controls.</p> <p>Vital records such as signed agreements and leases are retained in hard copy and stored in locked cabinets or the storage room. The cabinets and records storage room are not fire-rated.</p> <p>Building and Planning applications are scanned in that department and forwarded to Records for storage once complete.</p>

Town of Cottesloe Regulation 17 Review of the Local Government (Audit) Regulations 1996

Scope-Internal Control	Evidence
	<p>HR records are stored in a locked cabinet in the HR Department.</p> <p>A new ERP Record-keeping system is due for implementation prior to 2024.</p>
<p>8. Assess security controls in respect to <b>computer applications and information systems</b> (general and application IT controls) standards;</p>	<p><i>References: IT Security Policy/Procedure, Teams meeting and emails with Craig Wall: Managed I.T.</i></p> <p>Computer applications and information is managed by the Town's Cloud services provider, Managed I.T., with the hosting environment based in the Vocus Datacentre in East Perth. Both are current and appear effective.</p> <p>The Town has migrated all on-premise virtual servers into Managed IT's private cloud datacentre in Perth, and has no on-premise servers any longer. Managed IT have redundancy built into their infrastructure and there are multiple backups running and replicating offsite.</p> <p>Software systems are managed by an external consultant (Brenton Pember), who has managed systems for the Town over many years. A Business Continuity Plan has recently been developed.</p>
<p>9. Assess security controls access limits to <b>make changes to data files and systems</b>;</p>	<p><i>Reference: Director Corporate and Community Services.</i></p> <p>Changes to data files and systems cannot be made by an individual. All changes require Director or CEO approval with notification to Managed IT services provider.</p> <p>Staff security access reviewed at minimum annually, with passwords more regularly.</p>
<p>10. Assess whether the maintenance and review of financial control accounts and trial balances is regular and appropriate;</p> <p>11. Compare physical cash and inventory count records with accounting records;</p>	<p><i>References: Monthly Reconciliation checklist, Cash on Hand and Petty Cash Declarations, Manager Finance interview.</i></p> <p>End-of-Month reconciliations include all those undertaken between accounting records, Cash on Hand and Petty Cash Declarations, Financial Control Accounts and Trial Balances.</p>
<p>12. Assess management reviews in respect to comparison and analysis of financial results with budgeted amounts;</p>	<p><i>References: Monthly Financial Report, Financial Management Review.</i></p> <p>Monthly Financial Report and material variance explanations between actual and budget are reported to Council monthly and signed off by Director Corporate and Community Services, as part of the monthly financial and reconciliation statements. This adequately represents the monthly surplus on an ongoing basis.</p> <p>The Mid-Year Budgets (March 2022 sighted) and Financial Management Reviews confirm.</p>
<p>13. Assess management reviews in respect to the accuracy and content of records;</p>	<p><i>References: TRIM Records Management System, Recordkeeping Procedure Update 2022, Annual Report 2021.</i></p> <p>Refer IC 7 above. Records are managed by the Senior Records Officer according to the instructions outlined in the Recordkeeping Procedure Update 2022.</p>

Town of Cottesloe Regulation 17 Review of the Local Government (Audit) Regulations 1996

Scope-Internal Control	Evidence
	Guidance and direction for the creation and management of the Town's Records are outlined in this procedure and appear appropriate.
<p>14. Assess controls in respect to purchasing and <b>payment of accounts;</b></p> <p>15. Assess reporting, review and approval of financial payments and reconciliations;</p>	<p><i>References: Purchasing Policy and Procedures, Refer: RM 6, 7, 8, Monthly Reconciliation checklist, Delegations Register.</i></p> <p>Purchasing procedures are manually applied, however, appear effective, with clear segregation of roles and functions, processing and authorisation controls. Procedures are standardised across all areas including Payroll, Projects and Tenders.</p> <p>Payments processed, reviewed and approved by multiple personnel.</p> <p>All new / changes to supplier details are reviewed and authorised by Assistant Finance Manager.</p>
<p>16. Review liaison practices and regularity with auditors and legal advisors.</p>	<p><i>Reference: Audit Committee Minutes.</i></p> <p>Sighting of Audit Committee Minutes, letters and reports from OAG and External Auditors appear reflective of appropriate and effective liaison practices.</p>

<b>LEGISLATIVE COMPLIANCE</b>	
The compliance programs of a Town are a strong indication of attitude towards meeting legislative requirements.	
<b>Compliance programs assessed were as follows:</b>	
<b>Scope- Legislative Compliance</b>	<b>Evidence</b>
<p>1. Assess internal monitoring of compliance with legislation and regulations (<b>Compliance Framework</b> for meeting statutory obligations within statutory timeframes and accuracy delivery standards)</p> <p>2. Assess communications between management and the Audit Committee to ensure the Audit Committee is informed in respect to the effectiveness of the local government's compliance and recommendations for changes as required;</p> <p>3. Assess the Town's completion of the annual Compliance Audit Return and reporting the results of that review to the Audit Committee and Council;</p>	<p><i>References: Compliance Calendar, Annual Compliance Audit Return, February 2022, Audit Committee Minutes 2 February 2022 and Unconfirmed Minutes 14 June 2022.</i></p> <p>Overall, the Town appears to have an adequate <b>Compliance Framework</b>. The Framework includes, amongst others, a Compliance Calendar, an Audit Committee, Statutory Reports, Register of Primary and Annual Returns, Gifts Register, OSH Register, Freedom of Information Register and a Council Agenda report template.</p> <p>This includes internal and public domain legal documentation and systems and procedures in place to continuously record the Town's compliance on an on-going basis, rather than just once a year at the time of completing the Audit Return.</p> <p><b>External Audits of compliance</b> that have been conducted in recent years provide reasonable insight into the adequacy of practices occurring in the Town and these have not revealed significant flaws in the practices that have been audited.</p> <p>The Town's <b>Annual Compliance Audit Return</b> is submitted to the Audit Committee each year in accordance with the Local Government Act 1995. The Audit Committee Minutes of 2 February 2022 included this item.</p> <p>Management have committed to complete a review and update of the Local Planning Scheme and Strategy (23 June 2022, Director Development and Regulatory Services (DDRS)).</p> <p>Compliance obligations are ongoing and the <b>Compliance Calendar</b> is updated through the Audit Committee every three months and was last submitted to the Committee on 7 September 2022.</p>
<p>4. Review whether the Town has procedures for it to receive, retain and treat <b>complaints</b>, including confidential and anonymous employee complaints;</p>	<p><i>References: Customer Services Charter, Behaviour Complaints Management Policy.</i></p> <p>The procedure for dealing with complaints about alleged breaches of the behaviour requirements is set out in the 'Elected Members, Committee Members and Candidates Code of Conduct, Behaviour Complaints Management Policy' (25 May 2021).</p> <p>This Policy and the Complaints Register for complaints regarding Council Members is available on the Town's website.</p> <p>The Public Interest Disclosures Procedure details support for staff who make Public Interest Disclosures and the Customer Services Charter sets out the procedures for resolving complaints and disputes from Customers. There is no formal Customer Complaints Register in place.</p>

Town of Cottesloe Regulation 17 Review of the Local Government (Audit) Regulations 1996

Scope- Legislative Compliance	Evidence
	The procedure for managing confidential and anonymous employee complaints is via direct line management or HR. No Whistleblowing Policy is in place.
5. Assess management's process in respect to the identification of adverse trends and management plans to address these;	<p><i>References: Monthly Financial Statements, Mid-Year Budget Review, Risk Register.</i></p> <p>There were no known adverse Legislative Compliance-related trends by Finance Manager and Director Corporate and Community Services.</p> <p>Any potential adverse financial Compliance-related trends would be identified in External Audits, Monthly Financial Statements or Budget Reviews.</p> <p>Any potential non-financial Compliance-related adverse trends will be identified during Risk Register updates.</p>
6. Review management disclosures in financial reports of the effect of <b>significant compliance issues</b> (if any);	<p><i>References: Audit Committee Minutes, Compliance Calendar.</i></p> <p>No significant compliance issues known by Finance Manager and Director Corporate and Community Services.</p>
7. Assess whether the external auditors have regard to <b>compliance and ethics risks</b> in the development of their audit plan and in the conduct of audit projects, and report compliance and ethical issues to the Audit Committee;	<p><i>References: OAG Engagement Letter and Ernst &amp; Young Audit Plan and Extension Letter.</i></p> <p>OAG Engagement Letter and Ernst &amp; Young Audit Plan (June 2022) and Extension Letter sighted. Areas of Audit focus include compliance with operational procurement control requirements with the commitment to communicate control deficiencies or process improvement opportunities to the Audit Committee.</p> <p>Ernst &amp; Young audit the financial statements of the Town on behalf of the Office of the Auditor General ("Auditor General") and the audits will be conducted in accordance with Australian Auditing Standards and practices, which include the testing of ethics.</p>
8. Assess the Town's ability to stay informed regarding legislative and Regulatory changes;	<p><i>Reference: Compliance Audit Return.</i></p> <p>Annual Report, Compliance Audit Return reviews and updates.</p> <p>Monitoring of legislative changes through the Department of Local Government.</p> <p>External sources of information include membership of WALGA for Local Government updates.</p>
9. Review of the Audit Committee's processes and procedures in respect to compliance with legislative and regulatory requirements ensuring no misuse of position through adequate disclosure of conflicts of interest.	<p><i>References: Codes of Conduct, Minutes of Audit Committee meetings, Declarations of Financial Interests Register.</i></p> <p>Induction Manual Elected Members, Committee Members and Candidate Code of Conduct, Behaviour Complaints Management Policy on Town website (25 May 2021).</p> <p>Council Members, Committee Members and Candidates Code of Conduct (2021).</p> <p>Declarations of interest are on each agenda and requested at meetings.</p>

Town of Cottesloe Regulation 17 Review of the Local Government (Audit) Regulations 1996

Town of Cottesloe Regulation 17 Review of the Local Government (Audit) Regulations 1996

Recommendations: Regulation 17 Review – September 2022		Priority Rating		
Reference	Summary of Recommendations	Low	Med	High
RM1	Recommend Council approve the recently developed <b>Risk Management Policy</b> , including Risk Assessment and Acceptance Criteria.	X		
RM 1, 4	Submit the Risk Summary Report from the July 2022 risk review to the Audit Committee at their next meeting. This was Submitted to the Audit Committee September 2022; however, no meeting quorum was present. Recommend that all future <b>Risk Summary Reports</b> be provided to the Audit Committee.		X	
RM 1	Recommend development of a <b>Strategic Risk Register</b> in alignment with the Strategic Community Plan due for renewal in 2023.			X
RM 3c	The Town appears to have a higher probability of litigation in the <b>Planning/Building Approvals</b> area relative to other areas. Recommend a review of internal controls to confirm effectiveness.		X	
RM 8	The Town is potentially exposed to risks due to contracts operating after expiry of contract terms or contractors not adequately insured. While it is understood that the scheduled introduction of the Datascape Enterprise Resource Planning System (ERP) is intended to modernise and put in place a process for the management of contract, there is still some time before implementation. Recommend development and implementation of an interim <b>Contracts Register</b> for the management of external Suppliers, Contractors, IT Vendors or Consultants engaged for operations, which incorporates: <ul style="list-style-type: none"> <li>• All relevant contract information;</li> <li>• Renewal reminders;</li> <li>• Contractor insurance checks at initiation and annually;</li> <li>• A formal risk assessment process with risks assessed prior to contracts being awarded; and</li> <li>• A formal diarised contract review process.</li> </ul> Recommend the Town's <b>Lease Register</b> follow the same format to monitor lessee compliance in respect to the Town's leased properties.			X
RM 8	No formal purchasing procedure is in place. <b>Purchasing procedures</b> are manually applied, however, appear effective, with clear segregation of roles and functions, processing and authorisation controls.	X		
RM 9	Recommend the <b>Procurement</b> Management Plan (Engineering Services V1.2017) and the Contract Management Plan (V1.2019) be standardised or integrated with other Purchasing / Procurement / Contract documentation to form one approach across the organisation.		X	
RM 10	Reporting suspected unethical, fraudulent, dishonest, illegal or corrupt behaviour is reflected in the Town's Code of Conduct for Employees, however, their protection after reporting is not.			X

Town of Cottesloe Regulation 17 Review of the Local Government (Audit) Regulations 1996



Recommendations: Regulation 17 Review – September 2022		Priority Rating		
Reference	Summary of Recommendations	Low	Med	High
	<p>The Town does not currently have a formal <b>Whistleblowing Policy</b>, formal Disciplinary Procedures and/or Misconduct / Fraud Policy or Procedures. Recommend development of a formal Whistle-blower Policy and Procedure to outline the importance and responsibility that all staff in the Town have in ensuring that fraud is prevented through proper compliance with existing management controls, and that where wrongdoing is suspected, that it can be freely escalated in a safe and protected environment.</p> <p>The Town is potentially exposed to risks from staff undergoing disciplinary actions claiming that these actions arise out of bias against them or bullying.</p> <p>Recommend development of formal <b>Disciplinary Procedures</b> to ensure consistency of disciplinary actions.</p>			
IC 3	<p>Recommend the 'Adopted Policies in Use' schedule (listed as '<b>Policy Manual Adoption and Review Dates</b>' on the Town's website) be updated to further include:</p> <ul style="list-style-type: none"> <li>• The frequency of policy review;</li> <li>• Review due date;</li> <li>• Responsible Officer;</li> <li>• Any related legislation, guidelines or procedures; and</li> <li>• Whether the policy is current, revoked or replaced with a policy of a different title.</li> </ul> <p>It is recommended that a biennial review of the <b>Policy schedule</b> be incorporated into the Compliance Calendar for reminder frequency and relevant Policies noted in any Delegation.</p>	X		
IC 7	<p>Although a new ERP Record-keeping system is due for implementation in 2024, it is recommended that a review of the <b>Records Management Policy</b> (last updated August 2013) be conducted.</p>	X		
LC 4	<p>The Customer Services Charter sets out the procedures for resolving complaints and disputes from Customers, however there is no formal <b>Customer Complaints Register</b> in place.</p> <p>It is recommended that a Customer Complaints Register be produced to monitor the management of complaints.</p>		X	

# TOWN OF COTTESLOE



## AUDIT COMMITTEE

# ATTACHMENT

## ITEM 8.1.2A: RISK MANAGEMENT POLICY



Town of Cottesloe

## Risk Management Policy

### Policy Objectives

The objective of this Risk Management Policy is to state the Town of Cottesloe's ('Town's') intention to identify potential risks before they occur, so that impacts can be minimised or opportunities realised; ensuring that the Town achieves its strategic and corporate objectives efficiently, effectively and within good corporate governance principles.

### Policy Statement

It is the Town's Policy to achieve best practice aligned with AS/NZS ISO 31000:2018 Risk Management – Guidelines, in the management of all risks that may affect the Town meeting its objectives.

Risk management functions will be resourced appropriately to match the size and scale of the Town's operations, will form part of Strategic, Operational, and Project responsibilities, and be incorporated within the Town's Integrated Planning and Reporting Framework.

This policy applies to all Council Members, Employees and Contractors involved in any Town operations.

### Policy Details

Council is committed to ensuring that Risk Management:

- Optimises the achievement of the Town's values, strategies, goals and objectives.
- Aligns with and assists the implementation of Town Policies.
- Provides transparent and formal oversight of the risk and control environment, enabling effective decision-making.
- Reflects risk versus return considerations within the Town's risk appetite.
- Embeds appropriate and effective controls to mitigate risk.
- Achieves effective corporate governance and adherence to relevant statutory, regulatory and compliance obligations.
- Enhances organisational resilience.
- Identifies and provides for the continuity of critical operations.

### Key Policy Definitions

**Risk:** The effect of uncertainty on objectives.

**Note 1:** An effect is a deviation from the expected – positive or negative.

**Note 2:** Objectives can have different aspects (such as financial, health and safety and environmental goals) and can apply at different levels (such as strategic, organisation-wide, project, product or process).

**Risk Management:** Coordinated activities to direct and control an organisation with regard to risk.

**Risk Management Process:** Systematic application of management policies, procedures and practices to the activities of communicating, consulting, establishing the context, and identifying, analysing, evaluating, treating, monitoring and reviewing risk.



## Risk Management Policy

### Roles & Responsibilities

The CEO is responsible for:

- Implementation of this Policy.
- Measurement and reporting on the performance of Risk Management.
- Review and improvement of this Policy and the Town's Risk Management Framework triennially, or in response to a material event or change in circumstances.

The Town's Risk Management Framework outlines in detail all roles and responsibilities associated with managing risks within the Town.

### Risk Assessment and Acceptance Procedures

The Town has quantified its broad risk appetite through the Town's 'Risk Assessment and Acceptance Criteria' (below). The Criteria are included within the Risk Management Framework and as a component of this Policy.

All organisational risks are to be assessed according to the Town's Risk Assessment and Acceptance Criteria to allow consistency and informed decision-making.

Whilst these risk criteria are necessarily broad in their guidance, they offer insight to staff about risk areas or activities where Council has set reasonable boundaries.

For operational requirements such as Projects, Events, Work Health and Safety, or in rare instances in which the Town's Risk Assessment and Acceptance Criteria are unclear in determining a level of risk, alternative risk assessment criteria may be utilised, however these cannot exceed the organisation's risk appetite, and approval for such use must first be obtained from the Director Corporate and Community Services.

### Monitor & Review

The Town will implement and integrate a monitor and review process to report on the achievement of Risk Management objectives, the management of individual risks and the ongoing identification of issues and trends.

This Policy will be kept under review by the Town's Management Team. It will be formally reviewed triennially and forms part of the Town's Compliance Calendar overseen by the Audit Committee.



Town of Cottesloe Risk Assessment and Acceptance Criteria

Town of Cottesloe Measures of Consequence								
Rating (Level)	Compliance	Environment	Financial	Health / People	Property	Reputational	Service Interruption	Projects
<b>Insignificant (1)</b>	No noticeable regulatory or statutory impact	Contained, reversible impact managed by on-site response	Less than \$20,000	Near miss. Minor first aid injuries	Inconsequential damage.	Unsubstantiated, low impact, low profile or 'no news' item	No material service interruption <3 hours	<5% deviation in project outputs (Time, Cost, Scope and Quality) or funding
<b>Minor (2)</b>	Some temporary non-compliances	Contained, reversible impact managed by internal response	\$20,001 - \$250,000	Medical -type injuries	Localised damage rectified by routine internal procedures	Un/Substantiated, low impact, low news item	Short-term temporary interruption – backlog cleared <1 day	5-10% deviation in project outputs (Time, Cost, Scope and Quality) or funding
<b>Moderate (3)</b>	Short term non-compliance but with significant regulatory requirements imposed	Contained, reversible impact managed by internal & external agencies	\$250,001 - \$500,000	Lost-time physical or mental injury <30 days / Multiple staff morale problems	Localised damage requiring internal & external resources to rectify	Un/Substantiated, public embarrassment, moderate impact, moderate news profile	Medium-term temporary interruption – backlog cleared by additional resources <1 week	10-25% deviation in project outputs (Time, Cost, Scope and Quality) or funding
<b>Major (4)</b>	Non-compliance results in termination of services or imposed penalties	Uncontained, reversible impact managed by a coordinated response from external agencies	\$500,001 - \$1.5Mil	Lost-time physical or mental injury >30 days / Widespread staff morale problems	Significant and/or widespread damage requiring internal & external resources to rectify	Substantiated, public embarrassment, high impact, high news profile, third party actions	Prolonged interruption of services – additional resources required; performance affected <1 month	25-50% deviation in project outputs (Time, Cost, Scope and Quality) or funding
<b>Catastrophic (5)</b>	Non-compliance results in litigation, criminal charges, significant damages and/or penalties	Uncontained, irreversible impact	More than \$1.5Mil	Fatality, permanent disability. Town no longer an employer of choice. Loss of key staff.	Extensive damage requiring prolonged period of restitution Complete loss of plant, equipment & building	Substantiated, public embarrassment, very high multiple impacts, high widespread multiple news profile, third party actions	Indeterminate prolonged interruption of services – non-performance >1 month	More than 50% deviation in project outputs (Time, Cost, Scope and Quality) or funding



Risk Management Policy

Town of Cottesloe Measures of Likelihood				
Level	Rating	Description	In the past	Control Effectiveness
1	Rare	The event may only occur in exceptional circumstances (<5% chance)	Less than once in 10 years	Controls are very strong and operating as intended. There is no scope for improvement
2	Unlikely	The event could occur at some time (<10% chance)	Once in 10 years	Controls are strong and operating as intended
3	Possible	The event should occur at some time (20% chance)	Once in 3 years	Controls are operating as intended, but there is scope for improvement
4	Likely	The event will probably occur in most circumstances (>50% chance)	Once per year	Controls are operating; however, inadequacies exist
5	Almost Certain	The event is expected to occur in most circumstances (>90% chance)	More than once per year	Controls are weak, do not exist, or are not being complied with

Consequence X Likelihood = Risk Rating

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



## Risk Management Policy

Town of Cottesloe Risk Acceptance Criteria			
Risk Rank	Description	Criteria	Responsibility
Low	Acceptable	Risk acceptable with adequate controls, managed by routine procedures and subject to annual monitoring	Manager
Moderate	Monitor	Risk acceptable with adequate controls, managed by specific procedures and subject to semi-annual monitoring	Executive
High	Urgent Attention Required	Risk acceptable with effective controls, managed by senior management / executive and subject to monthly monitoring	CEO & Executive
Extreme	Unacceptable in most circumstances	Risk only acceptable with effective controls and all treatment plans to be explored and implemented where possible, managed by highest level of authority and subject to continuous documented monitoring	Council

Town of Cottesloe Existing Control Ratings		
Rating	Foreseeable	Description
Effective	There is no scope for improvement with all available resources.	Controls are operating as intended and aligned with policies and procedures. Controls are documented, up to date, understood by users, not forgotten or components missed, does not expose the organisation to theft or fraud and is delivered consistently within statutory or service delivery standards. Controls are subject to ongoing monitoring. Controls are reviewed and tested regularly.
Adequate	There is some scope for improvement.	Controls are generally operating as intended; however, inadequacies exist. Limited monitoring of controls. Controls are reviewed and tested, but not regularly.
Inadequate	There is a need for improvement or action.	Controls are not operating as intended. Controls do not exist, or are not being complied with. Controls have not been reviewed or tested for some time.

# TOWN OF COTTESLOE



## AUDIT COMMITTEE

# ATTACHMENT

### ITEM 8.1.2B: RISK PROFILE AND REPORTING REGISTER



Town of Cottesloe Measures of Consequence						
Rating (Level)	Compliance	Environment	Financial	Health / People	Property	Reputational
<b>Insignificant (1)</b>	No noticeable regulatory or statutory impact	Contained, reversible impact managed by on-site response	Less than \$20,000	Near miss, Minor first aid injuries	Inconsequential damage	Unsubstantiated, low profile or 'no news' item
<b>Minor (2)</b>	Some temporary non-compliance	Contained, reversible impact managed by internal response	\$20,001 - \$250,000	Medical-type injuries	Localised damage rectified by routine procedures	Un/Substantiated, low impact, low news item
<b>Moderate (3)</b>	Short term non-compliance with significant regulatory requirements imposed	Contained, reversible impact managed by internal & external agencies	\$250,001 - \$500,000	Lost-time physical or mental injury <30 days / Multiple staff morale problems	Localised damage requiring internal & external resources to rectify	Un/Substantiated, public embarrassment, moderate impact, moderate news profile
<b>Major (4)</b>	Non-compliance results in termination of imposed penalties	Uncontained, reversible impact managed by a response from external agencies	\$500,001 - \$1.5M	Lost-time physical or mental injury >30 days / Widespread staff morale problems	Significant and/or widespread damage requiring internal & external resources to rectify	Substantiated, public embarrassment, high impact, high news profile, third party actions
<b>Catastrophic (5)</b>	Non-compliance results in the imposition of significant criminal charges, significant damages and/or penalties	Uncontained, irreversible impact	More than \$1.5M	Fatality, permanent disability, Town no longer an employer of choice. Loss of key staff.	Extensive damage requiring prolonged period of restitution. Complete loss of plant, equipment & building	Substantiated, public embarrassment, very high impact, high news profile, multiple widespread party actions

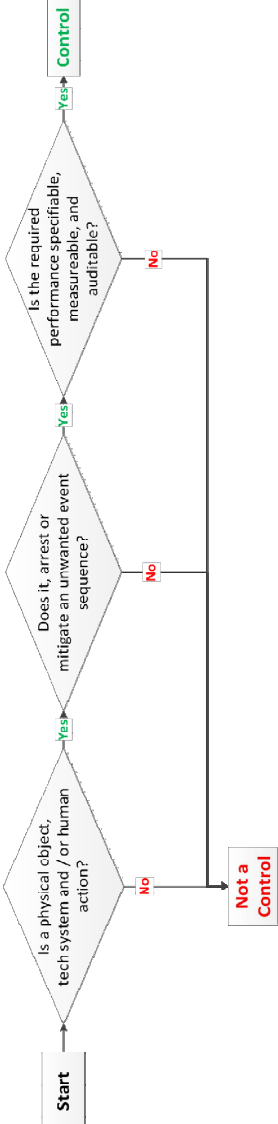
To unprotect sheet: Review Tab, Unprotect Sheet, Password is Lamp

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

Town of Cottesloe Measures of Likelihood		
Level	Rating	Description
1	Rare	The event may only occur in exceptional circumstances (<5% chance)
2	Unlikely	The event could occur at some time (<10% chance)
3	Possible	The event should occur at some time (20% chance)
4	Likely	The event will probably occur in most circumstances (>50% chance)
5	Almost Certain	The event is expected to occur in most circumstances (>90% chance)

Town of Cottesloe Risk Acceptance Criteria			
Risk Rank	Description	Criteria	Responsibility
Low	Acceptable	Risk acceptable with adequate controls, managed by routine procedures and subject to annual monitoring	Manager
Moderate	Monitor	Risk acceptable with adequate controls, managed by specific procedures and subject to semi-annual monitoring	Executive
High	Urgent Attention Required	Risk acceptable with effective controls, managed by senior management / executive and subject to monthly monitoring	CEO & Executive
Extreme	Unacceptable in most circumstances	Risk only acceptable with effective controls and all treatment plans to be explored and implemented where possible, managed by highest level of authority and subject to continuous documented monitoring	Council

Town of Cottesloe Existing Control Ratings	
Rating	Description
<b>Foreseeable</b>	Controls are operating as intended and aligned with policies and procedures. Controls are documented, up to date, understood by users, not forgotten or components missed, does not expose the organisation to theft or fraud and is delivered consistently within statutory or service delivery standards. Controls are subject to ongoing monitoring. Controls are reviewed and tested regularly.
<b>Effective</b>	Controls are generally operating as intended; however, inadequacies exist. Limited monitoring of controls. Controls are reviewed and tested, but not regularly.
<b>Adequate</b>	Controls are not operating as intended.
<b>Inadequate</b>	Controls do not exist, or are not being complied with. Controls have not been reviewed or tested for some time.



## Town of Cottesloe Risk Dashboard Report July 2022

NOVEMBER 2022

Page 2

<u>Asset Management Practices</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Finalise Property Management Plan to address building maintenance schedule	Sep-22	CBC	
Finalise LTFFP	Oct-22	DCCS	
Finalise Asset Management Plan & Incorporate with LTFFP	Dec-22	DES	
Implement annual review of staff licencing	Dec-22	HR	

<u>External Theft &amp; Fraud</u>		Risk	Control
		Low	Adequate
Current Actions	Due Date	Responsibility	

<u>Business and Community Disruption</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Finalise development of Business Continuity Plan	Nov-22	DCCS	
Continue development of Coastal Hazard Risk Management and Adaptation Plan	Aug-23	DES	

<u>Facilities-Venues</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	

<u>Compliance Risk</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Finalise Audit Regulation 17 Review	Sep-22	CEO	
Review Purchasing Policy & Procurement Management Plan	Dec-22	DCCS	
Commence the review and update of the Local Planning Scheme and Strategy	Jun-23	DDRS	

<u>IT, Communication Systems and Infrastructure</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Confirm automatic blocking of inappropriate internet websites	Sep-22	DCCS	
Review Vendor level of desk-top support	Sep-23	DCCS	
Complete Business Continuity Plan	Nov-22	DCCS	

<u>Document Management Processes</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Upgrade current website content	Jun-23	DCCS	

<u>Misconduct</u>		Risk	Control
		Low	Adequate
Current Actions	Due Date	Responsibility	

<u>Human Resources</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Documenting processes of key staff	Jun-23	HR	
Manage and implement Award transition	Jun-23	HR	

<u>Project / Change Management</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	

<u>Engagement</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Implement proactive user-friendly website	Jun-23	DCCS	

<u>Safety and Security Practices</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Include safety and security as a standing item in internal meeting agendas	Jun-23	CEO	

<u>Environment</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Review and update Natural Area Management Plan	Jun-23	CEP	
Complete Green Infrastructure Management Plan	Nov-22	CEP	
Revegetation of John Black Dune Park	Jun-23	CEP	

<u>Supplier/Procurement and Contract Management</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	

<u>Errors, Omissions, Delays</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	

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

ATTACHMENTS

Attachment 8.1.2b

**Asset Management Practices**

**Jul-22**

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

Areas included in the scope are:  
 Inadequate design (not fit for purpose)  
 Ineffective usage (down time)  
 Outputs not meeting expectations

Inadequate financial management and planning (capital renewal plan).  
 Inadequate maintenance activities.  
 It does not include issues with the inappropriate use of the Plant, Equipment or Machinery. Refer Misconduct.

**Potential causes include:**

- Inadequate scheduled maintenance program for all assets
- Inadequate Asset Management Plan
- Inefficient reactive maintenance
- Inadequate asset condition inspections (inadequate resources)
- Insufficient resources / budget to maintain or replace assets
- Favouring new projects over current aging infrastructure
- No planning for end of life renewal
- Failure to consider whole of life costs of new assets
- Inheriting assets and not increasing budgets to maintain them
- Insufficient priority given to asset renewal and ongoing maintenance
- Natural hazards - coastal erosion / damage to stairs / rails for trails / stormwater drainage
- (Poor life-cycle costing & asset management practices)
- Delays to repairs

**Objective:**  
 Maintain assets at a serviceable level from procurement to disposal.

Controls Assurance										
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external threat or fraud?	Comments
Routine maintenance: Hard Infrastructure (Roads, bridges, drainage, footpaths)	Preventative	Jul-22	Adequate	MPO	Yes	Yes	Yes	Yes	Yes	
Routine maintenance: Other Infrastructure (Parks, reserves & play equipment)	Preventative	Jul-22	Adequate	MPO	Yes	Yes	Yes	Yes	Yes	
Routine maintenance: Plant, fleet & equipment	Preventative	Jul-22	Adequate	MPA	Yes	Yes	Yes	Yes	Yes	
Routine maintenance: buildings	Preventative	Jul-22	Adequate	CBC	No	Yes	Yes	Yes	Yes	
Asset Management Plan	Preventative	Jul-22	Inadequate	DES	Yes	Yes	No	Yes	Yes	
Asbestos register and procedures	Preventative	Jul-22	Adequate	CBC	Yes	Yes	Yes	Yes	Yes	
Staff licencing and training	Preventative	Jul-22	Adequate	HR	Yes	Yes	Yes	Yes	Yes	
Asset replacement and renewal schedule	Preventative	Jul-22	Adequate	DES	Yes	Yes	Yes	Yes	Yes	
Asset register (roads, buildings, playgrounds, etc)	Detective	Jul-22	Adequate	DES	Yes	Yes	Yes	Yes	Yes	
Reactive (breakdown) maintenance	Recovery	Jul-22	Adequate	MPO	Yes	Yes	Yes	Yes	Yes	
Insurance	Recovery	Jul-22	Effective	DCCS	Yes	Yes	Yes	Yes	Yes	

**Overall Control Ratings:**

Current Actions	Due Date	Responsibility
Finalise Property Management Plan to address building maintenance schedule	Sep-22	CBC
Finalise LTFP	Oct-22	DCCS
Finalise Asset Management Plan & Incorporate with LTFP	Dec-22	DES
Implement annual review or staff licencing	Dec-22	HR

Consequence Category	Risk Ratings	Rating	Has the Risk Rating Changed since the last review?	Comments
Service interruption, Financial, Reputation	Consequence: Likelihood:	Moderate Possible		
	Overall Risk Ratings:	Moderate		

Indicators	Type	Benchmark	Result	Comments
Insurance claims	Lagging			
Breakdowns	Lagging			
Community complaints about asset conditions	Lagging			

Comments

Compliance Risk (Statutory, Regulatory)		Jul-22	Objective: Compliance with Statutory and Regulatory Local Government obligations						
<p>Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated internal &amp; public domain legal documentation. It includes (amongst others) the Local Government Act, Planning &amp; Development Act, Health Act, Building Act, Dog Act, Cat Act, Freedom of Information Act and all other legislative based obligations for Local Government.</p> <p><i>It does not include Occupational Safety &amp; Health Act (refer 'inadequate safety and security practices') or any Employment Practices based legislation (refer 'ineffective Employment practices').</i></p>									
<b>Potential causes include:</b>									
Lack of training, awareness and knowledge									
Failure to maintain updated internal & public domain legal documentation									
Staff Turnover									
Ineffective policies & processes									
Impulsive decision making									
Councillor turnover									
Inadequate compliance framework									
Controls Assurance									
Key Controls	Type	Date	Rating	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external fraud?	Comments
Audit and Risk Committee	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Compliance Calendar	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Councillor / Staff Induction Process	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Councillor / Staff Training	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Disability Access and Inclusion Plan	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
DWER Licencing Requirements	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Procurement Process	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Delegations Review	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
External Audits of compliance	Detective	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Financial management reviews	Detective	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Compliance Audit Return (DLGC)	Detective	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Audit Regulation 17 Review	Detective	Jul-22	Inadequate	Yes	Yes	No	No	Yes	
Statutory Reports (Budget/Annual Accounts)	Detective	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Contemporary Local Planning Scheme and Strategy	Detective	Jul-22	Inadequate	No	Yes	Yes	Yes	Yes	
<b>Overall Control Ratings:</b>			<b>Adequate</b>						
Status of Actions									
Current Actions	Due Date	Responsible	Rating	Comments					
Finalise Audit Regulation 17 Review	Sep-22	CEO							
Review Purchasing Policy & Procurement Management Plan	Dec-22	DCCS							
Commence the review and update of the Local Planning Scheme and Strategy	Jun-23	DDRS							
<b>Risk Ratings</b>			<b>Rating</b>	<b>Has the Risk Rating Changed since the last review?</b>					
<b>Consequence Category</b>			<b>Consequence:</b>	<b>Consequence:</b>					
Reputation, Financial			Minor	Moderate					
			Possible	Possible					
<b>Overall Risk Ratings:</b>			<b>Moderate</b>	<b>Moderate</b>					
Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments			
3rd party adverse findings	Lagging								
Audit notifications	Lagging								
Increased scrutiny from regulators or agencies	Lagging								
Letters from the Department of Local Government	Lagging								
Litigation, fines or penalties	Lagging								
Negative responses in Compliance Audit Return	Lagging								
<b>Comments</b>									

Business & Community Disruption		Jul-22			
<p>Failure to adequately prepare and respond to events that cause disruption to the local community and / or normal business activities. This could be a natural disaster, weather event, or an act carried out by an external party (e.g. sabotage / terrorism). This includes:                      Lack of (or inadequate) emergency response / business continuity plans.                      Lack of training for specific individuals or availability of appropriate emergency response.                      Failure in command and control functions as a result of incorrect initial assessment or untimely awareness of incident.                      Inadequacies in environmental awareness and monitoring of fuel loads, curing rates etc.                      This does not include <i>disruptions due to IT Systems or infrastructure related failures - refer: 'Failure of IT &amp; communication systems and infrastructure'</i>.</p>					
<p><b>Potential causes include:</b>                      Natural disaster such as storm, fire, earthquake                      Terrorism / sabotage / criminal behaviour                      Pandemic                      Loss of training for specific individuals or availability of appropriate emergency response equipment                      Loss of suppliers                      Inadequate emergency / business continuity response planning</p>					
<b>Controls Assurance</b>					
Key Controls	Type	Date	Rating		
Business Continuity Framework (Procedures & Plans)	Preventative	Jul-22	Inadequate		
Fully trained fire Wardens	Preventative	Jul-22	Adequate		
Coastal Adaptation Plan (Monitoring systems)	Preventative	Jul-22	Inadequate		
Regular LEMC, DEMC meetings	Detective	Jul-22	Adequate		
Fire break / fuel load inspections and enforcement	Detective	Jul-22	Adequate		
Regular debriefing and reviewing of incidents	Detective	Jul-22	Adequate		
Current LEMA & Recovery Plans	Recovery	Jul-22	Adequate		
I.T. Disaster Recovery Plan	Recovery	Jul-22	Adequate		
<b>Overall Control Ratings:</b>					
		Adequate			
<b>Current Actions</b>					
Finalise development of Business Continuity Plan		Due Date	Responsibility		
Continue development of Coastal Hazard Risk Management and Adaptation Plan (CHRMAMP)		Nov-22	DCCS		
		Aug-23	DES		
<b>Consequence Category</b>					
		Risk Ratings	Rating		
		Consequence:	Major		
		Likelihood:	Unlikely		
<b>Service Interruption / Reputation</b>		Overall Risk Ratings:	Moderate		
<b>Indicators</b>					
Utility outages	Type	Benchmark			
Non-compliance with Emergency Management Legislation	Leading				
Number of core service interruptions	Leading				
Resignations / terminations of key personnel	Lagging				
Months since last LEMA Exercise	Leading				
# Buildings with EM Plans in place	Leading				
<b>Comments</b>					
<b>Has the Risk Rating Changed since the last review?</b>					
		Consequence:	Catastrophic		
		Likelihood:	Rare		
		Risk rating at last review	Moderate		
<b>Control Assurance</b>					
Control is documented and up to date?	Control is understood?	Control is complete? (No forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments
No	No	No	Yes	Yes	
Yes	Yes	Yes	Yes	Yes	
Yes	Yes	No	Yes	Yes	
Yes	Yes	Yes	Yes	Yes	
Yes	Yes	Yes	Yes	Yes	
Yes	Yes	Yes	Yes	Yes	
Yes	Yes	Yes	Yes	Yes	
Yes	Yes	Yes	Yes	Yes	
<b>Status of Actions</b>					
		Risk rating at last review		Better or worse than Benchmark?	Comments
		Result			
<b>Comments</b>					

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

**Potential causes include:**

- Spreadsheet/database/document corruption or loss
- Lack of compliance with the State Records Act
- Inadequate access and /or security levels
- Inadequate Storage facilities (including climate control)
- High Staff turnover
- Incompatible systems
- Historical legacies
- Outdated record keeping practices
- Not following standard operating procedures
- Lack of system/application knowledge
- High workloads and time pressures
- Incomplete authorisation trails
- Lack of awareness of use of network drives and folders

**Objective:**  
 Efficient capture, storage, archive, retrieval, supply and ultimate disposal of documentation

Key Controls		Type	Date	Rating	Controls Assurance						
					Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments	
Electronic records management system (TRIM)	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes		
Records Management Policies and Procedures	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes		
Physical and electronic document security and access controls	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes		
Website Content Management	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes		
Ongoing awareness training and education	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes		
Document Disaster Management Plan	Recovery	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes		
FOI application process	Recovery	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes		
<b>Overall Control Ratings:</b>				<b>Adequate</b>							
<b>Current Actions</b>		<b>Due Date</b>	<b>Responsibility</b>	<b>Status of Issues / Actions / Treatments</b>							<b>Comments</b>
Upgrade current website content		Jun-23	DCCS								
<b>Consequence Category</b>		<b>Risk Ratings</b>	<b>Rating</b>	<b>Has the Risk Rating Changed since the last review?</b>							<b>Comments</b>
		<b>Consequence:</b>	<i>Minor</i>								
		<b>Likelihood:</b>	<i>Possible</i>								
		<b>Overall Risk Ratings:</b>	<b>Moderate</b>	<b>Risk rating at last review</b>							<b>Low</b>
<b>Indicators</b>		<b>Type</b>	<b>Benchmark</b>	<b>Result</b>		<b>Better or worse than Benchmark?</b>		<b>Trend since last review?</b>		<b>Comments</b>	
% of records not actioned within timeframes		Lagging									
Number of documents not stored electronically or archived off-site		Lagging									
Number of misplaced or lost documents, personnel files, applications, proposals or contracts		Lagging									
Inability to complete FOI due to loss / absence of documentation		Lagging									
<b>Comments</b>											

Jul-22

**Engagement practices**

Failure to maintain effective working relationships with the Community (including local Media), Stakeholders, Key Private Sector Companies, Government Agencies and Elected Members.  
 This includes activities where communication, feedback or consultation is required and where it is in the best interests to do so. For example:  
 Following up on any access & inclusion issues  
 Infrastructure Projects  
 Local planning initiatives  
 Strategic planning initiatives  
 This does not include instances whereby Community expectations have not been met for standard service provisions such as Community Events, Library Services and / or Bus/Transport services.

**Effective working relationships with external Stakeholders**

**Potential causes include:**

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

Key Controls				Type	Date	Rating	Controls Assurance				
Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments						
Community consultation / engagement framework	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Community-based Committees, forums & workshops	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Public Notices / Local papers / website communication	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Strategic Community Plan consultation	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Support local community groups	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Proactive external media engagement	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Council and community engagement	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Customer Service Charter	Detective	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Customer service survey	Detective	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
<b>Overall Control Ratings:</b>						<b>Adequate</b>					
<b>Current Actions</b>											
Implement proactive user-friendly website	Due Date	Responsibility									
	Jun-23	DCCS									
<b>Consequence Category</b>											
Reputation	Risk Ratings		Rating	Has the Risk Rating Changed since the last review?							
	Consequence:	Likelihood:	Moderate	Consequence: Major Likelihood: Rare							
	Overall Risk Ratings:		Moderate	Risk rating at last review							
<b>Indicators</b>											
Poor community satisfaction	Type	Benchmark	Better or worse than Benchmark?								
Failed local planning or strategic planning initiatives	Lagging		Trend since last review?								
Number of substantiated complaints referring to poor engagement	Lagging										
Surprise issues being raised in Council, community or Committee meetings	Lagging										
<b>Comments</b>											

Inadequate prevention, identification, enforcement and management of environmental issues.  
 The scope includes:  
 Inadequate planning and management of coastal erosion issues.  
 Failure to identify and effectively manage contaminated sites (including groundwater usage).  
 Waste services (landfill / transfer stations).  
 Weed & mosquito / Vector control.  
 Ineffective management of water sources (reclaimed, potable)  
 Illegal dumping.  
 Illegal clearing / land use.

**Objective:  
 Effective management  
 and protection of our  
 environment**

**Potential causes include:**

- Lack of understanding / knowledge
- Community apathy
- Inadequate planning and management of water erosion issues (land occupancy or ownership conditions)
- Weed and pest management difficulties
- Inadequate local laws / planning schemes
- Bio-diversity hotspots
- Clandestine drug labs disposing of chemicals illegally
- Fuel or chemical spills
- Weather events / natural disasters
- Complex legislation

Key Controls		Type	Date	Rating	Controls Assurance					Comments
					Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components misused)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	
Waste Management Plans	Preventative	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Tree Planting Program (Declared Weeds)	Preventative	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Dune Maintenance Program	Preventative	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Weed and vermin (Rabbits, Corellas, etc) control programs	Preventative	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Illegal dumping collections	Preventative	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Foreshore erosion management	Preventative	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Contaminated Sites Management Process	Preventative	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Engagement with local environment groups	Preventative	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Strategic Environmental Plans/documents	Detective	Detective	Jul-22	Inadequate	No	Yes	Yes	Yes	Yes	

**Overall Control Ratings:**

Due Date	Responsibility
Jun-23	CEP
Nov-22	CEP
Jun-23	CEP

**Status of Actions**

Current Actions	Due Date	Responsibility	Comments
Review and update Natural Area Management Plan	Jun-23	CEP	
Complete Green Infrastructure Management Plan	Nov-22	CEP	
Revegetation of John Black Dune Park	Jun-23	CEP	

**Has the Risk Rating Changed since the last review?**

Consequence Category	Risk Ratings	Rating	Comments
Environment, Reputation, Financial	Consequence:	Major	
	Likelihood:	Unlikely	
	Overall Risk Ratings:	Moderate	

Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments
Number of validated environmental incidents	Lagging					
Recycling contamination rate	Lagging					
Non-compliance notifications received (e.g. DWER)	Lagging					
Community complaints	Lagging					

**Comments**

Comments



Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process including incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff.  
 Examples include:  
 - Incorrect planning, development, building, community safety and Emergency Management advice  
 - Incorrect health or environmental advice  
 - Inconsistent messages or responses from Customer Service Staff  
 - Any advice that is not consistent with legislative requirements or local laws.  
 - Human error  
 - Inaccurate recording, maintenance, testing or reconciliation of data.  
 - Inaccurate data being used for management decision-making and reporting.  
 - Delays in service to customers  
 - This excludes process failures caused by inadequate / incomplete procedural documentation - refer "Inadequate Document Management Processes".

Potential causes include:

- Human error
- Incorrect information
- Inadequate formal procedures or training
- Miscommunication
- Lack of trained staff
- Poor use of check sheets / FAQs
- Unrealistic expectations from community council or management
- Poor internal communication between teams
- Historical decisions / advice
- Disconnect between financial receipting and systems
- Complex legislation
- Inadequate management oversight

Objective:  
 Minimal errors, omissions or delays in service delivery and advisory activities

Key Controls		Type	Date	Rating	Controls Assurance					Comments	
					Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?		
Staff training (mentoring, formal, peer-review & on-the-job)		Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes		
Delegations register		Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes		
Complaints Management Framework/Register		Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes		
Documented Procedures / Checklists		Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes		
Internal Financial control Framework		Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes		
Staff inductions		Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes		
Customer Action Requests Function (CRM)		Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes		
Professional indemnity insurance		Recovery	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes		
Overall Control Ratings:				Adequate							
Current Actions		Due Date	Responsibility	Status of Actions							Comments
Consequence Category		Risk Ratings		Rating	Has the Risk Rating Changed since the last review?						Comments
Reputation / Compliance		Consequence:		Minor							
		Likelihood:		Possible							
		Overall Risk Ratings:		Moderate							
Indicators		Type	Benchmark	Result		Better or worse than Benchmark?		Trend since last review?		Comments	
Insurance claims		Lagging									
Litigation		Lagging									
Substantiated complaints regarding errors, omissions, delays or inaccurate advice / information (inc. from Ombudsman, DLGC)		Lagging									
\$'s refunded on building licence applications		Leading									
Inaccurate data being used for management decision-making and reporting											
Comments											

External Theft and Fraud		Jul-22				
Loss of funds or assets, (whether attempted or successful) by external parties, through any means (including electronic), for the purposes of:						
Fraud: benefit or gain by deceit						
Malicious Damage: breaking or reducing the integrity or performance of systems						
Theft: stealing of assets or information						
<b>Potential causes include:</b>						
Inadequate physical security of equipment / supplies / cash						
Robbery						
Lack of Supervision						
Scam Invoices						
Collusion with internal staff (misconduct)						
Cyber crime						
<b>Objective: To prevent fraud, malicious damage or theft by external parties</b>						
Controls Assurance						
Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments
CBC	Yes	Yes	Yes	Yes	Yes	
FM	Yes	Yes	Yes	Yes	Yes	
FM	Yes	Yes	Yes	Yes	Yes	
DCCS	Yes	Yes	Yes	Yes	Yes	
DCCS	Yes	Yes	Yes	Yes	Yes	
FM	Yes	Yes	Yes	Yes	Yes	
DCCS	Yes	Yes	Yes	Yes	Yes	
<b>Overall Control Ratings: Adequate</b>						
Current Actions						
Due Date	Responsibility	Comments				
Has the Risk Rating Changed since the last review?						
Risk rating at last review						
Consequence: <i>Minor</i> Likelihood: <i>Unlikely</i> <b>Low</b>						
Risk Rating at last review						
Consequence: <i>Insignificant</i> Likelihood: <i>Almost Certain</i> <b>Moderate</b>						
Better or worse than Benchmark?						
Result						
Trend since last review?						
Comments						

**Management of Facilities, Venues and Events Jul-22**

Failure to effectively manage the day to day operations of facilities, venues and events. This includes:  
 Inadequate procedures in place to manage quality or availability.  
 Poor crowd control  
 Ineffective signage  
 Booking issues  
 Stressful interactions with hirers / users (financial issues or patrons not adhering to the rules of use of facility)  
 Inadequate oversight or provision of peripheral services (e.g. cleaning / maintenance)

**Objective:**  
 Effective management of the day to day operations of facilities, venues and events.

**Potential causes include:**

- Double bookings
- Traffic congestion or vehicles blocking entry or exit
- Illegal / excessive alcohol consumption
- Insufficient time between bookings for cleaning or maintenance
- Bond payments poorly managed
- Difficulty accessing facilities / venues.
- Inadequate oversight or provision of peripheral services (e.g. cleaning / maintenance)
- Poor service from contractors (such as catering, security or cleaning)
- Renovations
- Animal Contamination
- Inadequate risk, emergency or health and safety planning

Controls Assurance										
Key Controls	Type	Date	Rating	Control Owner	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments
External Event Management Program	Prevent / Detect	Jul-22	Adequate	EM	Yes	Yes	Yes	Yes	Yes	
Internal Event Management Program	Prevent / Detect	Jul-22	Adequate	EM	Yes	Yes	Yes	Yes	Yes	
Formalised booking system, including return of keys and Bond and check of facility after use)	Preventative	Jul-22	Adequate	EM	Yes	Yes	Yes	Yes	Yes	
Lease agreements for facilities	Preventative	Jul-22	Adequate	DCCS	Yes	Yes	Yes	Yes	Yes	
Routine inspection and maintenance schedules	Detective	Jul-22	Adequate	CBC	Yes	Yes	Yes	Yes	Yes	
Insurance for loss	Recovery	Jul-22	Adequate	DCCS	Yes	Yes	Yes	Yes	Yes	

**Overall Control Ratings:** Adequate

Current Actions	Due Date	Responsibility	Status of Actions	Comments

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

Indicators	Type	Benchmark	Result	Better or worse than Benchmark?	Trend since last review?	Comments
Community perception score (facilities)	Leading					
Complaints regarding facilities	Lagging					
Injuries / incidents at events / facilities	Lagging					
Reactive maintenance activity (\$\$)	Lagging					
Double bookings / errors						

**Comments**

**Human Resources Jul-22**

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

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

**Objective:**  
Effective management and leadership of human resources (full-time, part-time, casual, temporary and volunteer)

<b>Potential causes include</b>	
Leadership failures	Ineffective performance management programs or procedures
Single-person dependencies	Limited staff availability - labour market conditions
Poor internal communications / relationships	Inadequate induction practices
Ineffective Human Resources policies, procedures and practices	Inconsistent application of policies

Controls Assurance									
Key Controls	Type	Date	Rating	Control is documented and up to date?	Control is understood?	Control is complete? (Done once / not forgotten or components missed)	Timely? (Completed within statutory or service delivery standards)	Protects against internal or external theft or fraud?	Comments
Human Resource Framework (Policies and Procedures)	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Formal recruitment, selection & induction processes (inc. mandatory licencing, tickets, training, medicals, etc)	Preventative	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Ongoing staff training and education programs	Preventative	Jul-22	Inadequate	Yes	Yes	Yes	Yes	Yes	
Staff multiskilling in key areas	Detective	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Performance appraisals / review process / disciplinary process	Detective	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Probation checklist	Detective	Jul-22	Inadequate	Yes	Yes	Yes	Yes	Yes	
Workforce Plan (Succession planning and single-person dependencies)	Recovery	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Employee Assistance Program	Recovery	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	
Exit interview and exit process	Recovery	Jul-22	Adequate	Yes	Yes	Yes	Yes	Yes	

<b>Overall Control Ratings:</b>		<b>Adequate</b>
<b>Current Actions</b>	<b>Due Date</b>	<b>Responsibility</b>
Documenting processes of key staff	Jun-23	HR
Manage and implement Award transition	Jun-23	HR

Consequence Category	Risk Ratings	Rating	Has the Risk Rating Changed since the last review?		Comments				
			Better or worse than Benchmark?	Trend since last review?					
Compliance, Health, Reputational, Financial	<table border="1"> <tr> <td>Consequence:</td> <td>Moderate</td> </tr> <tr> <td>Likelihood:</td> <td>Possible</td> </tr> </table>	Consequence:	Moderate	Likelihood:	Possible	Moderate	Consequence:	Moderate	
	Consequence:	Moderate							
	Likelihood:	Possible							
Overall Risk Ratings:	Moderate	Risk rating at last review	Moderate						

Indicators	Type	Benchmark	Result		Comments
			Better or worse than Benchmark?	Trend since last review?	
Average absenteeism rate	Lagging				
Employee Turnover (% Staff turnover rate)	Lagging				
Tenure (Number of years working here)	Leading				
Suitable budget for training	Leading				
Workers Compensation claims (stress claims)	Lagging				
% employee inductions completed	Lagging				
<b>Comments</b>					

IT, Communication Systems and Infrastructure		Jul-22	
<p>Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the community. This may or may not result in IT Disaster Recovery Plans being invoked.</p> <p>Examples include:</p> <ul style="list-style-type: none"> <li>Unauthorised access by external parties for the purposes of fraud, malicious damage, stealing of data or information.</li> <li>Failures or disruptions caused by hardware or software or networks</li> <li>Failures of IT Vendors</li> <li>Poor governance results in the breakdown of IT Configuration management or Performance monitoring</li> <li>This does not include new system implementations - refer 'Inadequate Project / Change Management'.</li> </ul> <p><b>Potential causes include:</b></p> <ul style="list-style-type: none"> <li>Weather impacts</li> <li>Non-renewal of licences</li> <li>Inadequate IT incident, problem management &amp; Disaster Recovery Processes</li> <li>Power outage on site or at service provider</li> <li>Out-dated, inefficient or unsupported hardware or software</li> <li>Incompatibility between operating systems</li> <li>Vulnerability to user error</li> <li>Cyber crime and viruses</li> <li>Failure of vendor</li> <li>Equipment purchases without input from IT department</li> </ul>			
<p><b>Objective: Stability and performance of technology and communication systems</b></p>			
<p><b>Controls Assurance</b></p>			
Key Controls	Type	Date	Rating
IT security access protocols & infrastructure security	Preventative	Jul-22	Adequate
Formal IT Infrastructure replacement / refresh program	Preventative	Jul-22	Adequate
Ongoing upgrades to virus protection	Preventative	Jul-22	Adequate
IT security access (profiles & 2-factor authentication)	Preventative	Jul-22	Adequate
IT Security Framework (Staff awareness / Profile management / usage protocols)	Preventative	Jul-22	Adequate
Performance monitoring	Detective	Jul-22	Adequate
Multiple data back-up systems	Recovery	Jul-22	Adequate
Vendor Support Program (inc. Software licencing, software patching, maintenance, renewals, updates etc)	Recovery	Jul-22	Adequate
Disaster Recovery Plan	Recovery	Jul-22	Inadequate
IT usage handbook	Recovery	Jul-22	Adequate
<p><b>Overall Control Ratings: Adequate</b></p>			
Current Actions	Due Date	Responsibility	Comments
Confirm automatic blocking of inappropriate internet websites	Sep-22	DCCS	
Review Vendor level of desk-top support	Sep-23	DCCS	
Complete Business Continuity Plan	Nov-22	DCCS	
<p><b>Risk Ratings</b></p>			
Consequence Category		Rating	
Service disruption		Moderate	
Consequence:		Likelihood:	
		Major	
		Unlikely	
Overall Risk Ratings:		Moderate	
Indicators		Benchmark	
Cyber breaches	Lagging		
System availability %	Lagging		
# logged incidents	Lagging		
Core service interruptions	Leading		
<p><b>Comments</b></p>			

Misconduct		Jul-22	
<p>Intentional activities in excess of authority granted to an employee, which circumvent endorsed policies, procedures or delegated authority. This would include instances of:                      Relevant authorisations not obtained.                      Distributing confidential information.                      Accessing systems and / or applications without correct authority to do so.                      Misrepresenting data in reports.                      The use of company resources for non-work related purposes.                      Inappropriate use of plant, equipment or machinery.                      Inappropriate use of social media.                      Inappropriate behaviour at work.                      Purposeful sabotage                      This does not include instances where it was not an intentional breach - refer Errors, Omissions or Delays, or Inaccurate Advice / Information.</p>			
<p><b>Potential causes include:</b>                      Inadequate training of code of conduct / induction                      Changing of job roles and functions/authorities                      Delegated authority process inadequately implemented                      Disgruntled employees                      Lack of internal checks                      Covering up poor work performance                      Poor enforcement of policies and procedures                      Information leaked to Tenderers during the Tender process                      Insubordination                      Bypassing established administrative procedures</p>			
<p><b>Objective: Compliance with the Code of Conduct</b></p>			
Controls Assurance			
Key Controls	Type	Date	Rating
Induction Process (Code of Conduct)	Preventative	Jul-22	Adequate
IT security access framework (profiles & 2-factor authentication)	Preventative	Jul-22	Adequate
Internal Financial Control Framework / Delegations register / segregation of duties	Preventative	Jul-22	Adequate
Credit Card management	Preventative	Jul-22	Adequate
Elected Member Rules & Code of Conduct	Preventative	Jul-22	Adequate
Tender and procurement process	Preventative	Jul-22	Adequate
Working with Children Checks	Preventative	Jul-22	Adequate
Disciplinary Procedures	Preventative	Jul-22	Adequate
Supplier verification process	Preventative	Jul-22	Adequate
Internal and external complaints / whistleblowing procedures	Preventative	Jul-22	Adequate
Annual Performance Management reviews	Preventative	Jul-22	Adequate
Police clearances	Detective	Jul-22	Adequate
Professional Indemnity insurance	Recovery	Jul-22	Adequate
<b>Overall Control Ratings: Adequate</b>			
Status of Actions			
Current Actions	Due Date	Responsibility	Comments
Has the Risk Rating Changed since the last review?			
Risk rating at last review			
Consequence Category	Risk Ratings	Rating	Comments
Reputation / Finance	Consequence: Likelihood: Rare	Moderate	
	Overall Risk Ratings: Low	Low	
Risk rating at last review			
Indicators	Type	Benchmark	Comments
Budget variances	Lagging		
Failed Audits	Lagging		
Incidents warranting dismissal	Lagging		
Suppliers not being paid or complaints from suppliers (not involved in collusion or bribery with staff)	Lagging		
% staff with greater than 20 days accrued leave	Leading		
% staff that have not had 10 consecutive days leave in 12 mths	Leading		
# complaints regarding misconduct (internal / external)	Lagging		
# financial audit issues identified (designation of duties / related)	Lagging		
Internal and external complaints / whistleblowing	Lagging		
<b>Comments</b>			

**Project / Change Management**

**Jul-22**

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

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

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

**Potential causes include:**

- Excessive number of projects
- Inadequate monitoring and review
- Project risks not managed effectively
- Lack of project methodology, knowledge and reporting requirements
- Failures of project Vendors/Contractors
- Geographic or transport difficulties sourcing equipment / materials
- External consultants underquoting on costs

**Objective:  
 Adequate analysis,  
 design, delivery  
 and reporting of  
 projects**

Controls Assurance					Comments
Key Controls	Type	Date	Rating	Control Owner	
Formal Project approval, allocation, ownership, management and governance for larger projects	Preventative	Jul-22	Adequate	CEO	Yes
Stakeholder consultation	Preventative	Jul-22	Adequate	CEO	Yes
Formal risk assessment process prior to initiation and during project term	Preventative	Jul-22	Adequate	CEO	Yes
Project status reporting	Detective	Jul-22	Adequate	CEO	Yes

**Overall Control Ratings: Adequate**

Current Actions			Status of Actions		
Due Date	Responsibility	Comments			

Consequence Category		Risk Ratings		Has the Risk Rating Changed since the last review?		Comments
Financial / Reputational / Health	Consequence:	Minor	Rating	Consequence:		Moderate
	Likelihood:	Possible	Rating	Likelihood:		Unlikely
Overall Risk Ratings:		Moderate	Rating	Risk rating at last review		Moderate

Indicators		Benchmark		Result		Trend since last review?		Comments
Missed deadlines / milestones	Lagging			Better or worse than Benchmark?				
Budget overruns / blowouts	Lagging							
Failed objectives	Lagging							
# outstanding project status reports	Lagging							
# project scope changes	Lagging							

Comments	

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

Potential causes include:

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

Objective: Compliance with the Occupation Safety & Health Act, associated regulations and standards, and the ability to ensure the physical security requirements of staff, contractors and visitors.

Table with columns: Key Controls, Type, Date, Rating, Control Owner, Control is documented and up to date?, Control is understood?, Control is complete?, Timeby? (Completed within statutory or service delivery standards), Projects against internal or external threat or fraud?, Comments. Includes sections for Overall Control Ratings, Current Actions, Risk Ratings, and Indicators.





# TOWN OF COTTESLOE



## AUDIT COMMITTEE

# ATTACHMENT

### ITEM 8.1.2C: OPERATIONAL RISK ASSESSMENT SUMMARY

## **Town of Cottesloe Operational Risk Summary Report July 2022**

The following summary is sourced from Excel Workbook: *13 July 2022 Town of Cottesloe Risk Profile and Reporting Register*.

The worksheet Tab labelled '**Matrixes**' reflects the Town's updated Risk Assessment and Acceptance Criteria.

According to the Town's **Risk Assessment and Acceptance Criteria**, all Risk Profiles fall within appetite, are acceptable operational risk, have adequate Controls in place, managed by routine or specific procedures, and are subject to annual or semi-annual monitoring.

- There are no Operational risks rated '**Extreme**'.
- There are no Operational risks rated '**High**'.
- There are no Operational risks with a Likelihood considered '**Almost Certain**'.
- The overall risk trend since the last review appears to have improved in the areas of Asset Management, Environment Management, External Theft and Fraud, Misconduct and Safety and Security.
- Nineteen (19) improvements or actions were identified to strengthen Controls.

Improvements or actions prioritised according to due date are:

<b>Risk Profile</b>	<b>Improvement or Action</b>	<b>Due Date</b>	<b>Who</b>
Asset Management	Finalise Property Management Plan to address building maintenance schedule	<b>Sept 22</b>	CBC
Compliance	Finalise Reg 17 review	<b>Sept 22</b>	CEO
IT/Communications	Confirm automatic blocking of inappropriate internet websites	<b>Sept 22</b>	DCCS
IT/Communications	Review Vendor level of desk-top support	<b>Sept 22</b>	DCCS
Asset Management	Finalise Long Term Financial Plan	<b>Oct 22</b>	DCCS
Disruption	Finalise development of Business Continuity Plan	<b>Nov 22</b>	DCCS
Environment	Complete Green Infrastructure Management Plan	<b>Nov 22</b>	CEP
Asset Management	Finalise Asset Management Plan & incorporate with Long Term Financial Plan	<b>Dec 22</b>	DES
Asset Management	Implement annual review of staff licencing requirements	<b>Dec 22</b>	HR
Compliance	Review Purchasing Policy & Procurement Management Plan	<b>Dec 22</b>	DCCS
Compliance	Commence the review and update of the Local Planning Scheme and Strategy	<b>June 23</b>	DDRS
Document Management	Upgrade current website content	<b>June 23</b>	DCCS
Engagement	Implement proactive user-friendly website	<b>June 23</b>	DCCS
Environment	Review and update Natural Area Management Plan	<b>June 23</b>	CEP
Environment	Revegetation of John Black Dune Park	<b>June 23</b>	CEP
Human Resources	Documenting processes of key staff	<b>June 23</b>	HR
Human Resources	Manage and implement Award transition	<b>June 23</b>	HR
Safety and Security	Include safety and security as a standing item in internal meeting agendas	<b>June 23</b>	CEO
Disruption	Continue development of Coastal Hazard Risk Management and Adaptation Plan (CHRMAP)	<b>Aug 23</b>	DES

Improvements or actions prioritised according to responsibility are:

<b>Risk Profile</b>	<b>Improvement or Action</b>	<b>Due Date</b>	<b>Who</b>
Asset Management	Finalise Property Management Plan to address building maintenance schedule	Sept 22	<b>CBC</b>
Compliance	Finalise Reg 17 review	Sept 22	<b>CEO</b>
Safety and Security	Include safety and security as a standing item in internal meeting agendas	June 23	<b>CEO</b>
Environment	Complete Green Infrastructure Management Plan	Nov 22	<b>CEP</b>
Environment	Review and update Natural Area Management Plan	June 23	<b>CEP</b>
Environment	Revegetation of John Black Dune Park	June 23	<b>CEP</b>
IT/Communications	Confirm automatic blocking of inappropriate internet websites	Sept 22	<b>DCCS</b>
IT/Communications	Review Vendor level of desk-top support	Sept 22	<b>DCCS</b>
Asset Management	Finalise Long Term Financial Plan	Oct 22	<b>DCCS</b>
Disruption	Finalise development of Business Continuity Plan	Nov 22	<b>DCCS</b>
Compliance	Review Purchasing Policy & Procurement Management Plan	Dec 22	<b>DCCS</b>
Document Management	Upgrade current website content	June 23	<b>DCCS</b>
Engagement	Implement proactive user-friendly website	June 23	<b>DCCS</b>
Compliance	Commence the review and update of the Local Planning Scheme and Strategy	June 23	<b>DDRS</b>
Asset Management	Finalise Asset Management Plan & incorporate with Long Term Financial Plan	Dec 22	<b>DES</b>
Disruption	Continue development of Coastal Hazard Risk Management and Adaptation Plan (CHRMAP)	Aug 23	<b>DES</b>
Asset Management	Implement annual review of staff licencing requirements	Dec 22	<b>HR</b>
Human Resources	Documenting processes of key staff	June 23	<b>HR</b>
Human Resources	Manage and implement Award transition	June 23	<b>HR</b>

Note: Descriptions referring to Design, Operating and Overall Effectiveness of Controls is set out on Page 11 of the Town's Risk Management Procedures and Treatment options set out on Page 13.

Report compiled by Michael Sparks, MS Consulting, 15 July 2022. This report is based on prevailing conditions at the time and information provided by Town of Cottesloe personnel. It does not imply that no other conditions exist.

# TOWN OF COTTESLOE



## AUDIT COMMITTEE

# ATTACHMENT

## ITEM 8.1.3A: BUSINESS CONTINUITY PLAN 2022



Town of Cottesloe

# Business Continuity Response Plan

**Version 1.0: September 2022**

**Review date: September 2023 (or sooner, if managing a disruption)**

## Please read: Important information about this Plan for the user

This document is a series of checklists developed and maintained in readiness for use during an incident **resulting, or anticipated to result in a disruption to business-as-usual activities.**

The term 'Incident' can be used to indicate a 'Crisis', 'Disaster', 'Emergency', Accident or any other event **resulting, or anticipated to result in a disruption.**

This plan's main purpose is to offer guidance in restoring the Town to an acceptable level of operation by focusing on staff welfare, communications, time-critical business activities and those staff who will need to be contacted or mobilised due to the circumstances of the incident.

**Every incident is unique. Therefore, the gap between continuity planning and the real disruptive incident now being faced, needs to be filled with new information, gathered after an assessment of the circumstances of the incident, and the Plan and response options updated accordingly. See diagram on following page.**

**An Organisation's behaviours during an incident can significantly damage the trust of staff, the community and other stakeholders. Therefore, during a disruptive incident, the Town will seek to:**

- 1. Before all else, establish the safety and wellbeing of staff, visitors and the community.**
- 2. Provide regular, concise and meaningful communications internally and externally.**
- 3. Strategically manage the incident through strong leadership and clear decision-making to return operations to normality.**
- 4. Work together as a team demonstrating the Town's principles and values.**
- 5. Provide the Town's community, customers and stakeholders with essential services.**
- 6. Provide staff with a safe working environment to support service delivery.**
- 7. Ensure that the recovery efforts have the necessary resources and support.**
- 8. Plan into the future. Set critical milestones and time frames for recovery.**
- 9. Ensure all actions are documented for investigators, debriefs and reviews.**

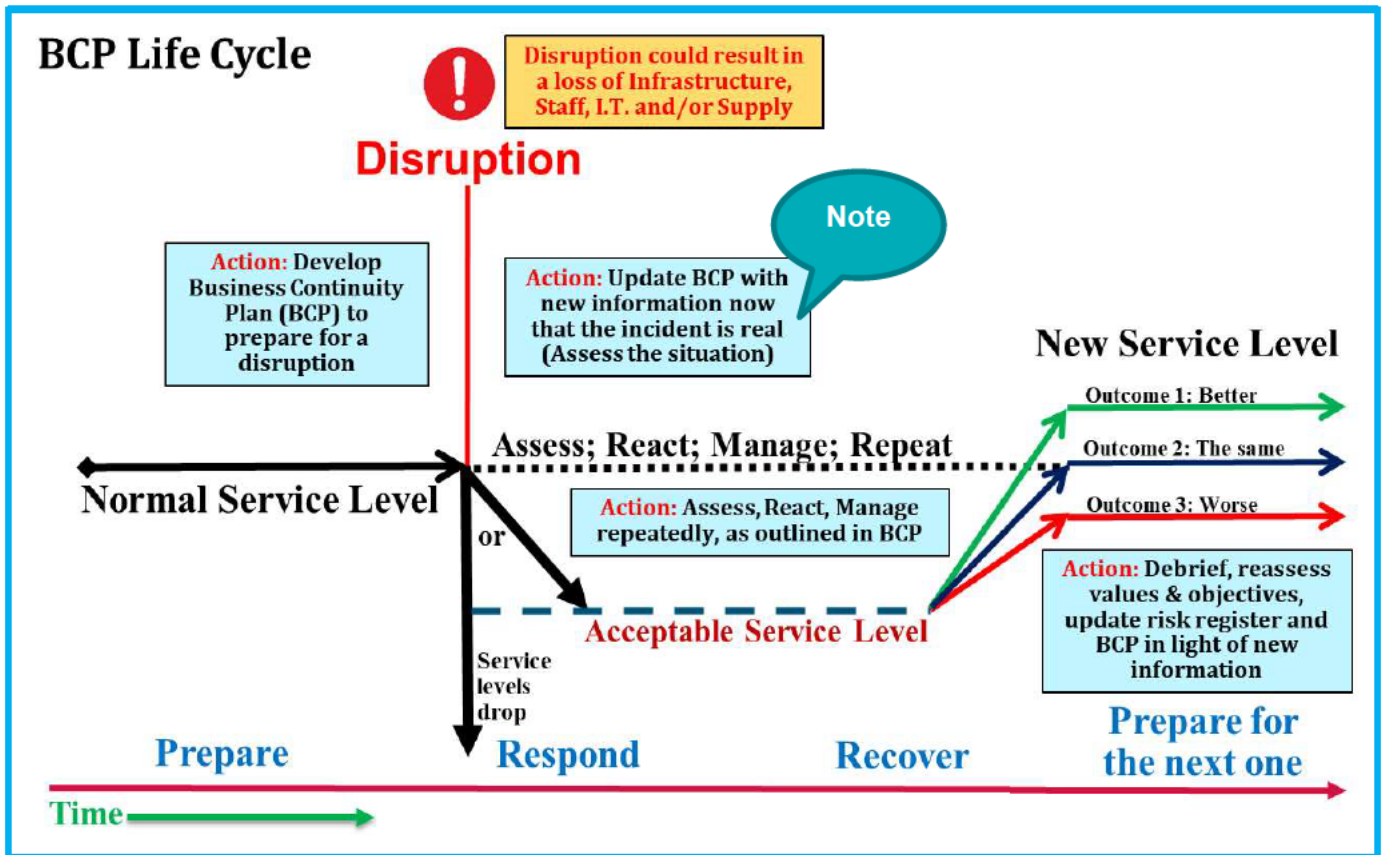
**\* Team checklists begin after the Table of Contents**

**\* Pandemic Checklist (Appendix B)**

**\*\*\* Incident Leader Checklist at the back (Appendix C)**



# Please read:



## Document Control

Document Record	
TRIM document name	Town of Cottesloe Business Continuity Response Plan 2022

Review and Approval	
Version date	September 2022
Approved by	Director Corporate & Community Services
Frequency of review	Annual

Hard and soft Copies of this plan are located:

- Depot
- Admin Office
- Accessible remotely through Office 365 and TRIM



## Table of Contents

Checklists:.....	5
1. Emergency Response .....	5
2. Immediately After Emergency: .....	5
Evidence .....	5
3. <b>Assess</b> .....	7
3A. Employee’s support & wellbeing requirements.....	8
3B. Time-Critical business activities according to priority .....	10
3C. Other Considerations.....	13
3D. Upcoming Activities and Events.....	14
3E. Key Contacts .....	15
4. <b>React</b> .....	18
Scenario-Specific Checklists .....	18
a) Loss of Staff .....	18
b) Loss of (or access to) buildings / infrastructure / equipment .....	20
c) Loss of IT or Communications.....	22
d) Loss of Supplier .....	24
5) <b>Manage</b> .....	25
6) Recover.....	26
Appendix A – Communications Guidelines.....	27
Appendix B – Pandemic Checklist.....	31
Appendix C – Incident Leader Checklist.....	34



# Checklists:

## 1. Emergency Response

**Before all else, establish the safety and wellbeing of staff, visitors and the community.**

## 2. Immediately After Emergency:

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

Incident Management Team	Date & Time contacted	Deputy
<b>Matthew Scott</b> (CEO) 0418 924 132	Date & Time	Appointed by the Leadership Team in the absence of a Member
<b>Shane Collie</b> (Director Corporate and Community Services) 0455 874 130	Date & Time	
<b>Freya Ayliffe</b> (Director Development and Regulatory Services) 0452 618 272	Date & Time	
<b>Shaun Kan</b> (Director Engineering Services) 0450 118 126	Date & Time	
<b>David Derwin</b> (Manager Parks and Operations) [REDACTED]	Date & Time	
<b>Jacqueline Pilkington</b> (Personal Assistant) [REDACTED]	Date & Time	
<b>Lisa Mattiske</b> (Communications) [REDACTED]	Date & Time	
<b>Mayor Lorraine Young</b> (Spokesperson) 0413 590 162	Date & Time	

The Incident Management Team will then secure involvement of Specialist Staff from support areas with expertise relevant to the incident (HR/I.T./Works, etc.) See the following page.

## Evidence

Remember to log details of all Witnesses, Photographic and CCTV evidence for investigators, debriefs and reviews.



## Support Specialists

Note time of contacting Specialists for investigators, debriefs and reviews.

Support Specialist	Mobile	Support Specialist Title
Irene Wai Shan Au-Yeung		Assistant Finance Manager
Jacqueline Luseno	██████████	EHO
Jessica Williams	0418 916 506	Ranger
Josh Lappan	██████████	Co-ordinator Parks & Operations
Kate Saunders	██████████	Executive Services Officer
Lauren Davies	██████████	Former Finance Manager
Michael Duckett	██████████	Executive Officer (LEMC)
Peter Miller	██████████	Building Maintenance Officer
Rebecca Gianatti	██████████	Compliance Officer
Reg Walker	██████████	Co-ordinator Civil Works
Sarah Jessop		Finance Manager
Tran Nguyen	██████████	EHO
Wayne Johnson	0418 916 507	Coordinator of Rangers and Compliance
Wayne Richards	██████████	Former Finance Manager



### 3. Assess

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

#### Assess and Prioritise:

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

\*After assessing and prioritising, focus your resources where they're needed most

#### See 'Scenario-Specific' Checklists for more specific information relating to:

- [Loss of Staff](#)
- [Loss of \(or access to\) buildings / infrastructure / equipment](#)
- [Loss of I.T., Data or Communications](#)
- [Loss of Key Suppliers](#)



### 3A. Employee's support & wellbeing requirements

Determine employee's support & wellbeing requirements:	Delegated to:	Complete
Set up incoming and outgoing contact arrangements for staff	Delegated to:	Time
<p>Monitor employee's medical &amp; stress factors. Consider additional support options for impacted individuals who:</p> <p>Are ill, are at risk, are fearful or anxious about the risks, or fail to show up to work due to safety concerns, caring for sick family members or due to travel restrictions.</p> <p>Identify space to segregate/isolate teams or individuals if necessary.</p> <p>Be mindful of any potential bullying or harassment of any particular demographic.</p> <p><a href="#">See checklist: 'Loss of Staff'</a> for additional information.</p> <p>Liaise with relevant Line Managers.</p>	Delegated to:	Time
<p><b>Determine Management and Staff roles and responsibilities before sending anyone home (if applicable):</b></p> <p><b>Make sure:</b></p> <p>If you're sending staff home, that they are actually capable of getting home and not (for example) in shock or ill and unable to drive.</p> <p>Ask them if a family member or friend can fetch them, or arrange an ambulance or taxi. DO NOT call a taxi if they are infectious.</p> <p>That they are able to contact their families if they need or want to.</p> <p><b>Make sure they understand:</b></p> <ul style="list-style-type: none"> <li>• Where they should go</li> <li>• What they should do and how they should do it</li> <li>• The options available to them</li> <li>• Reporting arrangements</li> <li>• That their jobs are safe, if applicable, or the options available to them</li> <li>• When they should come back to work</li> <li>• When the next communication can be expected and how it will be communicated.</li> </ul> <p>Remind them about the Town's <b>Social Media Policy</b> (not to talk to the Press, or post anything on Facebook, or alert Friends). If an employee is approached for a comment, they should refer the media body to you as the Incident Leader.</p> <p>Contact and instruct staff not affected by the incident, currently off site, on leave or located elsewhere.</p> <p>Consider Union involvement.</p> <p>A main internal point of contact should be nominated and provided to all staff should they need to communicate. This should be a different person to that making the staff contacts.</p> <p>Update staff contact list and send bulk texts after obtaining relevant authorisation to do so and only in urgent circumstances.</p>	Delegated to:	Time
Engage external employee assistance program (EAP) Refer <a href="#">Key Contacts</a>	Delegated to:	Time
<b>Continued on the following page...</b>		



Determine employee's support & wellbeing requirements:	Delegated to:	Complete
Consider employee's family responsibilities (e.g., children). Allow them to contact their family if they want to or need to.	Delegated to:	Time
If required, assist employees who may have increased medical requirements such as; those persons who may be pregnant, recently undergone an operation, disabled or frail.	Delegated to:	Time
Consider flexible working arrangements such as shifts, additional breaks or fewer hours per day or week.	Delegated to:	Time
Arrange WH&S assessments for any changes in working arrangements or redeployment	Delegated to:	Time
Ensure Line Managers regularly touch base with staff working from home or remotely	Delegated to:	Time
Set up a roster system and / or additional resources to manage workload & fatigue	Delegated to:	Time
*Contact family or next of kin only with assistance from Employee Assistance Program or Police	Delegated to:	Time
Ensure staff have refreshments, food and toilet facilities if required	Delegated to:	Time
Organise suitable transport arrangements for employees if required	Delegated to:	Time
Organise temporary accommodation if required	Delegated to:	Time
<b>Ensure regular updates to staff and allocate responsibilities for updates</b> (Email, Text messaging, Teams, Internet, Facebook, White Board, Bulletin board, Other)	Delegated to:	Time
During recovery and returning to work, consider that staff may need time to heal or adjust to any changes	Delegated to:	Time
Consider return-to-work guidance for staff	Delegated to:	Time
Consider providing financial advice to staff who have been financially impacted	Delegated to:	Time
Refer to the employee Handbook for further information regarding Employee Wellbeing, Employee Leave Entitlements, Working from Home and Managing Employees	Delegated to:	Time



Town of Cottesloe

### 3B. Time-Critical business activities according to priority

Priority	Critical Activity	Responsibility	Work remotely	Guidelines
1	Communications	Communications & Marketing Coordinator	Yes	Internal and external communication & updates to staff, elected members, stakeholders and community (including WMRC and Coast-Care if relevant): media liaison & official media releases, websites, emails, Facebook, etc. See also: 'Key Contact Lists - 3E below.
1	Employee advice, welfare and support	Human Resources	Yes	See 3A above: ' <a href="#">Employee's support &amp; wellbeing requirements</a> '
1	Information technology and communications	Corporate & Community Services	Yes	To support office and work-from-home capability: Network including connection to internet, Cyber security, Email, Communications (phone system) See also: ' <a href="#">Loss of IT or Communications</a>
1	Rangers – responses to be prioritised	Development & Regulatory Services	Yes	Urgent Ranger-related requests such as Local Law enforcement, animal welfare (Shenton Park Animal Shelter), shark control procedures, Emergency Management, Police support, bushfire control etc.
1	Evacuation Centre mobilisation, including Local Emergency Management Arrangements	Development & Regulatory Services	No	Cottesloe Surf Life Saving Club, North Cottesloe Surf Life Saving Club, War Memorial Hall, Lords Centre, etc. If relevant, ensure arrangements are in place to receive and store donations from the public and implement access controls and security at the site.
1	Environmental Health – responses to be prioritised	Development & Regulatory Services	No	Urgent public health issues and complaints (such as *asbestos, aged care, contamination, food poisoning, pests, diseases, applications, etc).
1	Payroll, creditors payments and other banking transactions	Finance	Yes	Bank authority important
1	Customer Service	Corporate & Community Services	Yes	Redirect calls, set up customer face-to-face office, messages, etc
1	Consider all upcoming internal and external Town and community events	Office of the CEO	Yes	Consider cancelling or postponing events based on current circumstances
1	Contact all relevant contractors to confirm if they have been affected by the incident	Parks & Operations	Yes	See 'Key Contact Lists - <a href="#">3E. Key Contacts</a> '.



Priority	Critical Activity	Responsibility	Work remotely	Guidelines
1	Property Management and Maintenance - responses to be prioritised to ensure community safety	Parks & Operations	No	Public cleaning & sanitation – cleaning, maintaining toilets, beaches, etc. Safety of Town-owned community and Town-operated buildings: plumbing, electrical, damages, etc. Close and lock facilities if required.
1	Works - responses to be prioritised to ensure community safety	Parks & Operations	No	Sinkhole repairs, footpath repairs, blocked drains and pipes, pumps, potholes & trip hazards
1	Parks and Reserves - responses to be prioritised to ensure community safety	Parks & Operations	No	Fallen trees, irrigation and playground maintenance – safety / compliance / emergency works
1	Traffic Management	Parks & Operations	Yes	Assist Emergency Responders, urgent road closures and site safety, approvals, events, building works, works in throughfares, verge treatment applications
1	WH&S (safety), including accident investigation and incident reporting	HR	Yes	Incident reporting performed by shared WH&S Officer. Ensure inductions are still being performed.
1	Domestic & Commercial Waste Collection	Development & Regulatory Services	No	All services are contracted out.
1	Contact Insurers	Corporate & Community Services	Yes	LGIS
2	Council and Committee Meeting Functions	Office of the CEO	Yes	Urgent decision-making functionality most important
2	Statutory obligations (Building, Planning, Health)	Development & Regulatory Services	Yes	Can request applicants to delay. Advise applicants of potential delays to turnaround and action times. Monitor legislative requirements.
2	Statutory Compliance – safety of people or property is priority	Development & Regulatory Services	Yes	Work requiring site inspections or investigations. Monitor legislative requirements. Advise applicants of potential delays to turnaround and action times.
2	Processing of mail, Records Management	Corporate & Community Services	No	Contact Australia Post for changes or assistance with mail deliveries





Priority	Critical Activity	Responsibility	Work remotely	Guidelines
2	Raising of Accounts Receivable (including Rates)	Corporate & Community Services	Yes	
2	Procurement of goods and services - Tenders and Request for Quotes	Corporate & Community Services	Yes	Advise applicants of potential delays to turnaround and action times. Monitor legislative requirements.
2	Grant funding submissions	Corporate & Community Services	Yes	Advise interest in applying for Grant and request additional time for submission



### 3C. Other Considerations

Other considerations	Priority	Delegated to:
Banking Security Tokens		
Bulletin Board		
Car Mobile Chargers		
Coffee & tea		
Eftpos/Cash		
Emergency Management Arrangements (available from other LG's) <ul style="list-style-type: none"> <li>• City of Subiaco</li> <li>• Town Cambridge</li> <li>• Town of Claremont</li> <li>• Town of Mosman Park</li> <li>• City of Nedlands</li> <li>• Shire of Peppermint Grove</li> <li>• City of Vincent</li> </ul>		Exec Officer LEMAC Michael Duckett – 0418 909 639
Environmental Health Sample Equipment		
Manual Timesheets and Purchase Orders		
Mobile phone chargers		
Office safe		
Padlocks and Master Keys – key register		
Pens, paper & stationery		
Signage (roads, etc)		
Truck and vehicle keys		

### 3D. Upcoming Activities and Events

Month	Recurring Activity
ALL	Check Compliance Calendar
ALL	Check all upcoming Town and Community public events
January	New Year's Day and Australia Day public holidays
February	Rottnest Channel Swim
March	Labour Day Public Holiday (WA: first Monday in March) Sculptures by the Sea
March/April	Good Friday and Easter Monday Public Holidays
April	ANZAC Day Public Holiday Pineapple Club Event
June	Western Australia Day (formerly Foundation Day) – typically the first Monday in June
September	Queen's Birthday Public Holiday (typically the last Monday of September)
November	Melbourne Cup Day (held on the first Tuesday of November)
December	Christmas Day and Boxing Day Public Holidays Carols by Candlelight Procott Christmas Event



Choose who to contact based on the circumstances

### 3E. Key Contacts

Key Contacts / Organisations to be Contacted	<input checked="" type="checkbox"/>	Contact
Alinta Gas		13 13 58
Building Commission		1300 489 099
Chubb Cyber Incident Response Hotline		1800 730 705
Department of Biodiversity, Conservation and Attractions		9219 9000
Department of Education WA		9264 4111
Department of Fire & Emergency Services (DFES)		000
Department of Health (Environmental Health Directorate)		9222 2000
Department of Local Government, Sport & Cultural Industries		6552 7300
Department of Biodiversity, Conservation and Attractions Parks and Wildlife Service (DpaW)		9219 9000
Department of Transport		1800 354 928
Department of Water and Environmental Regulation (DWER) pollution response team		1300 784 782
Environmental Protection Authority (EPA)		6364 7000
Grove Library		9286 8686
Local Government Advisory Hotline		1300 762 511
Local Government: Town of Claremont		9285 4300
Local Government: City of Nedlands		9273 3500
Local Government: Town of Mosman Park		9383 6600
Local Government: Shire of Peppermint Grove		9286 8600
Local Government: City of Subiaco		9237 9200
Main Roads Emergency		13 81 38
Poisons Information Hotline		13 11 26
Police (non-emergency)		13 14 44
Police, Fire, Ambulance		000
Public Transport Authority (PTA)		9326 2000
RSPCA		1300 777 222 / 9209 9300 / 3909
St John Ambulance (non-emergency)		9334 1222
State Administrative Tribunal (SAT)		9219 3111 / 1300 306 017
State Library of Western Australia		9427 3111
State Records Office		9427 3600
WALGA		9213 2000 / <a href="mailto:info@walga.asn.au">info@walga.asn.au</a>
Waste Authority WA		6364 6965
Water Corporation		13 13 75 (Emergency)
WMRC - Western Metropolitan Regional Council		9384 4003
Western Power		13 10 87
WorkSafe: 1800 678 198 (24hrs serious incidents)		1300 307 877



Choose who to  
contact based on  
the circumstances

## Contractors

Contracting Service	<input checked="" type="checkbox"/>	Contact
After Hours service		In House - 0436918262
Animal Shelter		Shenton Park Animal Shelter -Dogs: 9381 8166, Cats 9442 3600
Arboriculture/Tree Pruning		Heritage Tree Surgeons – 0418 717 955
Asbestos removal		Jim's Asbestos removal – 0448 023 842
Asphalt small		Claremont Asphalt - 0407 196 683
Asphalt Large		Roads 2000 (tender) – 9202 0800
Asphalt supplies- Asphalt in a bag		AAA Asphalt – 08 9410 0004
Banking		National Australia Bank
Bus Stop Maintenance		Ooh media – 08 6160 8999
Beach Cleaning		Nu-Trac Rural Contracting – 0434 976 884
Catering		Ultimo Catering: 9444 5807 Boatshed Market 9284 5176 Kirkwood Deli 9385 6009
Cleaners		Charles Cleaning Service (tender) – 08 9322 1544
Concrete repairs/ footpaths		Cobblestone Concrete (tender)- 0411 453 552
Concrete supply		Midland Mini Crete – 08 9250 2322
Civil works		Claremont asphalt – 0407 196 683, FJ Fitzsimmons & Co – 0419 933 784
Dog Waste bag suppliers		Total Packaging – 08 9456 3180, Woodlands – 0412 429 767
Drainage materials		Cascada,08 64447620. Wembley cement – 08 9302 8000
Drain Cleaning		Solo – 0407 893 782, Drain flow – 08 9209 0500
Drainage Repairs		Claremont Asphalt – 0407 196 683
Electrician		Surun Electrical (tender) – 08 6420 1832
Equipment Hire		Kennards hire 08 9433 7800, Diamond Hire – 089286 4200
Footpath Cleaning / pressure cleaning		FCT Cleaning – 08 9204 3333
Fuel		Shell Mosman Park – Fleet card – 1300 881 246
Garden supplies		Greenway Enterprises – 08 6258 0333
Glass Repairs		Professional Glass & Maintenance – 08 9470 9245
General cleaning and toiletries supplies		Winc- 132644 Blackwood's- 08 9311 6400 Bunnings – 08 9338 9200, Surekleen – 9248 7444
General building supplies		Complete building supplies – 0429 001 645
Injury Management		Cottesloe Medical centre – 08 9384 1044
I.T. support		Managed IT 1300 626 243
Kerbing		Kerb Doctor – 0419 994 479. Elite Kerbing – 0419 337 004
Landfill		WMRC- Brockway tip – 08 9384 2544
Leak Detection		Fremantle Leak detectors – 0413 114 882
Locksmiths		Gronbek security – 08 9430 5787, Lock Stock & Farrell – 08 6350 8500
Line marking		Statewide Linemarking (RFQ) – 0417 915 997



Contracting Service	<input checked="" type="checkbox"/>	Contact
Mechanical services		Major Motors - trucks 08 9331 9306, Melville Mazda -other vehicles - 08 9319 1500
PPE Supplies		Safety Zone – 08 9331 6831, Bunnings – 08 9338 9200, Work Clobber – 08 9314 6430
Pest Control		Bug Busters – 08 9493 1313
Plumbing		Young’s Plumbing – 0419 868 888
Plumbing Supplies		Galvin’s – 08 6389 9500
Powerlines & underground power		Western Power - 131351
Recruitment labour hire		Flexi staff – 08 9592 7500. Crest – 08 9215 6200
Reticulation Supply		Perth Irrigation Company – 0408 331 911
Reticulation Contractors		Pipeline Irrigation – 0418 451 700
Reticulation Pumps & Bores		D U Electrical (RFQ) – 0407 332 015
Service location		Award Contracting – 0411 878 895
Signage		Corsign – 08 9248 9262 Jason Signmakers – 08 9458 7033
Tyre Repairs		Bob Jane T-Mart – 08 9383 1355
Road works		Roads 2000 – 08 9202 0800
Rubbish pick-up/ bin emptying		Solo – 08 9410 1566
Rubbish bin supplies		Mastec – 08 9414 1827. David Gray – 08 9337 4933
Street sweeping		Envirosweep – 0416 094 639
Traffic Management		Vigilant – 04 56 786 330
Telstra		



## 4. React

### Scenario-Specific Checklists

#### a) Loss of Staff

Tasks: Loss of Staff	Delegated to:	Time
Determine: The number of staff away, affected service areas & expected return dates. Record and track staff absences.	Delegated to:	Date & Time
Ensure the safety and wellbeing of remaining staff.	Delegated to:	Date & Time
Identify Time-Critical deliverables due today and for the next 5 days.	Delegated to:	Date & Time
Determine the minimum number of staff required to continue operations and identify critical servicing and staffing gaps. Identify staff to be redeployed from other areas.	Delegated to:	Date & Time
Consider how staff working in shifts will be established and allocated (e.g., work two shifts of 5 hours rather than one shift of 8 hours).	Delegated to:	Date & Time
Ensure appropriate inductions, training and supervision to be in place for any replacement or redeployed staff.	Delegated to:	Date & Time
Ensure risk assessments in regards to any potential staff safety issues.	Delegated to:	Date & Time
Discuss changes with personnel and relevant Union if required and engage specialist Industrial Relations or legal assistance.	Delegated to:	Date & Time
Arrange any required medical assistance.	Delegated to:	Date & Time
Cease all non-critical activities where appropriate.	Delegated to:	Date & Time
In consultation with HR, notify / escalate to Health Department or Worksafe etc.	Delegated to:	Date & Time
Can temporary competent replacements be arranged from: <ul style="list-style-type: none"> <li>○ Local Governments (consider MOUs with neighbouring LG's)</li> <li>○ Casuals / increase part-time hours</li> <li>○ Volunteers / from the community / prisoners</li> <li>○ Existing contractors</li> <li>○ Recruitment agencies for Labour Hire (e.g., LoGo, WALGA)</li> <li>○ State Government Agencies</li> <li>○ Retired or former employees</li> <li>○ Redeployed from other areas</li> </ul>	Delegated to:	Date & Time
Continued on following page...		



Tasks: Loss of Staff	Delegated to:	Time
<p>Depending on the nature of the incident, <b>consider:</b></p> <ul style="list-style-type: none"> <li>• Requesting assistance from other local governments, contractors or stakeholders/</li> <li>• Staffing requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>• Supply requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>• Other resources or equipment required for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>• Clearing backlogs.</li> <li>• Leadership and staff rotation / rostering.</li> </ul>	Delegated to:	Date & Time
Create a Communication Plan for Councillors, Media, Regulators, other Stakeholders and Staff as required. (Template: Appendix A – Communications Guidelines).	Delegated to:	Date & Time
Notify Stakeholders of any amended working arrangements	Delegated to:	Date & Time
Organise any required Employee Assistance including counselling to assist with personnel returning to work.	Delegated to:	Date & Time
Develop and distribute return-to-work guidance to staff.	Delegated to:	Date & Time
Conduct regular Fitness for Work Assessments.	Delegated to:	Date & Time
Establish a method to provide financial advice to staff who have been financially impacted.	Delegated to:	Date & Time
<b>Other:</b>	Delegated to:	Date & Time





**b) Loss of (or access to) buildings / infrastructure / equipment**

Tasks: Loss of (or access to) buildings / infrastructure / equipment		Complete
<p><b>If relocation is necessary; consider:</b></p> <p><b><u>Alternative Locations:</u></b></p> <ul style="list-style-type: none"> <li>▪ <b>Other Admin Building facilities</b></li> <li>▪ <b>Depot</b></li> <li>▪ <b>Grove Library</b></li> <li>▪ <b>Work from home</b></li> <li>▪ <b>MS Teams</b></li> <li>▪ <b>Civic Centres in other Local Governments</b> (Subiaco, Peppermint Grove, Nedlands, Mosman Park, Claremont, Cambridge, Vincent, etc)</li> <li>▪ <b>Portable site offices</b> (Consider Harvey Field)</li> </ul> <p><b><u>Storage Locations: Physical stock or equipment;</u></b></p> <p>Council Reserves, vacant land, Depot, Contractors, Local businesses, Harvey Field</p>		Date & Time
<p>➤ Notify <b>current</b> users of the alternate location of your intention to occupy.</p>		
<p>Depending on the nature of the incident, <b>consider:</b></p> <ul style="list-style-type: none"> <li>• Requesting <b>assistance</b> from other local governments, contractors or stakeholders</li> <li>• <b>Staffing</b> requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>• <b>Supply</b> requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>• Other resources or equipment required for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>• Clearing <b>backlogs</b></li> <li>• Leadership and <b>staff rotation</b> / rostering</li> </ul>		Date & Time
Consider how workstations & communications for staff <b>relocating to other sites</b> will be established and allocated, including those with portable devices.	Delegated to:	Date & Time
Staff travel arrangements to other sites.	Delegated to:	Date & Time
Consider how staff working in shifts will be established and allocated (e.g., work two shifts of 5 hours rather than one shift of 8 hours).	Delegated to:	Date & Time
How workstations & communications for staff <b>working from home</b> will be organised. Note: staff working from home should be housed at the office 2 days per week wherever possible to maintain culture and support.	Delegated to:	Date & Time
Consider other support areas to assist with relocation.	Delegated to:	Date & Time
Familiarise staff with new arrangements and determine communication protocols.	Delegated to:	Date & Time
Arrange security access controls for the <b>affected building</b> .	Delegated to:	Date & Time
Continued on following page...		








Tasks: Loss of (or access to) buildings / infrastructure / equipment	Complete	
Arrange security access controls for the <b>new building/s</b> .	Delegated to:	Date & Time
Manage any new <b>WHS/Support &amp; wellbeing issues</b> that may arise either <ol style="list-style-type: none"> <li>1. During relocation or</li> <li>2. At the new building/s or</li> <li>3. With the use of new equipment</li> </ol>	Delegated to:	Date & Time
<b>Notify Stakeholders of amended working arrangements</b>	Delegated to:	Date & Time
Create a Communication Plan for Councillors, Media, Regulators, other Stakeholders and Staff as required. (Template: Appendix A – Communications Guidelines).	Delegated to:	Date & Time
<b>Redirect:</b> Emails, phones, couriers, etc.	Delegated to:	Date & Time
Identify necessary Staff & equipment requirements to maintain Time-Critical Activities.	Delegated to:	Date & Time
If possible, begin salvage or restoration activities.	Delegated to:	Date & Time
<b>Other:</b>	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time



### c) Loss of IT or Communications

Tasks: Loss of IT or Communications	Delegated to:	Complete
1. Determine potential cause/s of loss of I.T. 2. Clarify the extent of the outage. 3. Clarify the extent of any data loss.  <b>Contact IT Contractor Support - Managed I.T. on 1300 626 243 or log a ticket on their online portal if phones are down.</b>  <b>Note: ONLY if Managed I.T. are unavailable, <u>and</u> the incident is a cyber-attack, should you contact the LGIS Cyber Insurer: Chubb Cyber Incident Response Hotline: 1800 730 705.</b>  See Chubb response process on the following page.	Delegated to:	Date & Time
The Town's IT is housed in Managed IT's private cloud datacentre in Perth.  Request a diagnosis and regular feedback to allow you to detail an appropriate strategy and the required resources for recovery.  Authority, TRIM, Info-Council, remote desktop servers will be required.	Delegated to:	Date & Time
Determine whether there is a need for any internal staff to assist I.T.	Delegated to:	Date & Time
<b>Consider:</b>  Deliverables due today and for the next five days, 10 days, 1 month, etc.  Consider how workstations & communications for staff relocating to other sites or working from home will be established and allocated, including those with laptops.  Any manual procedures or workarounds.  Other productive activities not requiring I.T. or communications infrastructure.	Delegated to:	Date & Time
Detail a strategy and resources for recovery, including assistance from neighbouring local governments, responders, external contractors, suppliers, insurers and specialists.	Delegated to:	Date & Time
If there has been a partial loss of IT or Communications, consider how staff working in shifts will be established and allocated (e.g., work two shifts of 5 hours rather than one shift of 8 hours).	Delegated to:	Date & Time
Notify Stakeholders of amended working arrangements.	Delegated to:	Date & Time
Create a Communication Plan for Councillors, Media, Regulators, other Stakeholders and Staff as required. (Template: Appendix A – Communications Guidelines).	Delegated to:	Date & Time
Ensure protocols with Managed IT for regular updates and feedback and leave them to do their work without interruption if possible.	Delegated to:	Date & Time
Consider support & wellbeing requirements of I.T. personnel.	Delegated to:	Date & Time
<b>Other:</b>	Delegated to:	Date & Time

Tasks: Loss of IT or Communications	Delegated to:	Complete
 <p><b>CHUBB</b></p> <p><b>Chubb Cyber Incident Response Process for Councils</b></p> <p><b>Policyholder calls Chubb Cyber Incident Response Hotline 1800 730 705.</b> Hotline is available 24/7/365. <b>CLYDE&amp;CO</b></p> <p><b>Local Incident Response Manager (IRM) assigned</b> Incident assessment begins. Within 5 hours. </p> <p><b>Expert vendors Assigned</b> Based on Chubb's incident triage, our panel of expert vendors are assigned to the incident. i.e.  <ul style="list-style-type: none"> <li>• Privacy or Data breach</li> <li>• Rogue employee actions</li> <li>• Nation state threat</li> </ul>                     Within 24 hours. <b>sententia</b></p> <p><b>Post Incident Activity</b>  <ul style="list-style-type: none"> <li>• Analysis</li> <li>• Policy response</li> <li>• Future remediation</li> <li>• Lessons learnt</li> <li>• Risk mitigation</li> </ul> </p> <p><b>Incident Containment and Recovery.</b> Initial incident debrief between IRM and policyholder. </p> <p>Chubb Cyber ERM offers a comprehensive range of pre and post breach services to help your clients navigate the digital age. Please contact your local Chubb distribution team for more information. </p> <p><small>Note: A call to the Hotline does not constitute notification under the policy. The policyholder should contact their broker and review notification provisions within the Cyber ERM policy.</small></p> <p><b>Chubb. Insured.™</b></p> <p><small>©2016 Chubb Insurance Australia Limited. Chubb®, its logos, and Chubb. Insured.™ are protected trademarks of Chubb. Chubb40-123-016</small></p>	<p>Delegated to:</p>	<p>Date &amp; Time</p>



#### d) Loss of Supplier

Tasks: Loss of Supplier	Delegated to:	Complete
<p><b>Contact the Supplier (where possible) and determine:</b></p> <p>The nature and extent of the incident.</p> <p>Whether operations have ceased entirely, or are limited.</p> <p>Supply of any goods currently in transit.</p> <p>Whether the supplier has stock on hand that you can collect.</p> <p>Communication updates from the supplier.</p> <p>Assign someone to monitor &amp; communicate with the supplier.</p>	Delegated to:	Date & Time
Consider restoration timeframes and clearance of backlogs (if applicable)	Delegated to:	Date & Time
<p><b>Consider:</b></p> <ul style="list-style-type: none"> <li>• Time-Critical activities that rely on this supplier. Can these be prioritised immediately?</li> <li>• Length of time before these activities are impacted?</li> <li>• Alternative suppliers? Contact them immediately.</li> <li>• Procurement Requirements Purchasing policy.</li> <li>• Alternative procedures.</li> </ul>	Delegated to:	Date & Time
Determine if there are any legal, health and safety, reputation or financial implications and manage them accordingly.	Delegated to:	Date & Time
<p>Depending on the nature of the incident, <b>consider:</b></p> <ul style="list-style-type: none"> <li>• Requesting assistance from contractors or stakeholders</li> <li>• Staffing requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>• Supply requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>• Other resources or equipment required for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>• Clearing backlogs</li> <li>• Leadership and staff rotation / rostering</li> </ul>	Delegated to:	Date & Time
Notify Stakeholders of amended working arrangements	Delegated to:	Date & Time
Create a Communication Plan for Councillors, Media, Regulators, other Stakeholders and Staff. (Template: Appendix A – Communications Guidelines).	Delegated to:	Date & Time
Place additional orders to make up any low supply quantities.	Delegated to:	Date & Time
<b>Other:</b>	Delegated to:	Date & Time



## 5) Manage

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

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



## 6) Recover

Tasks	Delegated to:	Complete
Contact other Local Governments who've experienced a similar incident and request assistance by sharing their post-incident recovery experiences with you.		
Arrange responsibilities for tasks & determine target completion times.		
Record all decisions, actions and issues.	Delegated to:	Date & Time
Monitor ongoing staff support & wellbeing requirements	Delegated to:	Date & Time
<b>For review and agreement:</b>	Delegated to:	Date & Time
<ul style="list-style-type: none"> <li>Completed action items</li> </ul>	Delegated to:	Date & Time
<ul style="list-style-type: none"> <li>Recovery objectives</li> </ul>	Delegated to:	Date & Time
<ul style="list-style-type: none"> <li>Plans are in place to deal with any backlogs</li> </ul>	Delegated to:	Date & Time
<ul style="list-style-type: none"> <li>Communication to staff to recognise efforts</li> </ul>	Delegated to:	Date & Time
<ul style="list-style-type: none"> <li>Target date for completion of post-incident review</li> </ul>	Delegated to:	Date & Time
Provide copies of logs and decisions to Admin Officer for collation	Delegated to:	Date & Time
<b>Undertake <u>post-incident review / debrief</u>, including:</b>		
<ul style="list-style-type: none"> <li>Communication within and between Incident Management Team and Support areas</li> <li>Effectiveness of communication with affected areas and stakeholders</li> <li>Cost of recovery arrangements and insurance offsets</li> <li>Effectiveness of recovery strategies</li> <li>Advice to external and internal customers</li> <li>Media arrangements</li> <li>Impact of incident on Town's reputation</li> <li>Timeframes for tasks and achievement of targets</li> <li>Impact on work flows of affected and interdependent areas</li> <li>Special staffing arrangements and acknowledgment of contributions.</li> <li>IT system performance and recovery arrangements.</li> </ul>	Delegated to:	Date & Time
Present findings for review.	Delegated to:	Date & Time
Celebrate achievements and anniversary of incident (if appropriate).	Delegated to:	Date & Time



# Appendix A – Communications Guidelines

Sample Communications Template
<p>New York Mayor Rudy Guiliani’s format for providing 9/11 disaster information is given as an example of best practice:</p> <ul style="list-style-type: none"> <li>• <b>this is what we know (&amp; this is who is impacted)</b> _____ _____</li> <li>• <b>this is what we don’t know</b> _____</li> <li>• <b>this is what we are doing</b> _____</li> <li>• <b>this is what we want you to do</b> _____</li> </ul> <p><u>Press Release Example</u></p> <p>On (insert day and date) at approximately (insert time) the Town of Cottesloe experienced a business interruption event (describe event • this is what we know, • this is what we don’t know, etc, as above). See ‘Notification Chart’ below for Likely questions from Stakeholders and ‘Message Mapping’ below for a template.</p>

**Note: ONLY an authorised spokesperson may speak to the media.**

Communications Team Responsibilities		
Primary	Deputy	Role / Responsibility
CEO		<ul style="list-style-type: none"> <li>• Works with Management Team / Council, to issue statements to the media.</li> <li>• Serves as lead representative at press conferences with assistance as required.</li> <li>• Approves all publicly disseminated information.</li> <li>• Identifies spokespersons if required.</li> </ul>
		<ul style="list-style-type: none"> <li>• Works in close liaison with the spokesperson to ensure message accuracy and delivery.</li> <li>• Assists with media relations.</li> </ul>
		<ul style="list-style-type: none"> <li>• Provides legal advice on communications strategies.</li> <li>• Provides legal advice on messaging to victim(s), family members, media, etc.</li> <li>• Approves messages before release.</li> </ul>





<b>Verify the Incident</b>	
<b>WHAT</b> happened? <b>WHAT</b> is impacted?	
<b>WHERE</b> did it happen?	
<b>WHEN</b> did this happen?	
<b>WHO</b> is involved? <b>WHO</b> is impacted?	
<b>HOW</b> did it happen?	
<b>WHY</b> did it happen?	
<b>WHAT</b> is currently being Completed?	
<p><b>Note:</b></p> <p>When collecting information, it is important to consider the following:</p> <ul style="list-style-type: none"> <li>• Have all the facts been obtained (to the best of your knowledge)? _____</li> <li>• What other information is needed? _____</li> <li>• Have the details of the situation been confirmed? _____</li> <li>• Are the information sources credible? _____</li> <li>• Is the information consistent from several sources? _____</li> </ul> <p>Other? _____</p>	



Notification Chart		
Audience	Organisational context	Likely questions
<b>Employees</b>	<ul style="list-style-type: none"> <li>Organisational impact of event</li> <li>Continuing operational capability</li> <li>Alternate work arrangements</li> </ul>	<ul style="list-style-type: none"> <li>➤ What has happened and why?</li> <li>➤ What will happen in the immediate future?</li> <li>➤ Where is assistance available?</li> <li>➤ Where should we go?</li> <li>➤ What should we do?</li> <li>➤ How do we do it?</li> <li>➤ What are we allowed to say?</li> <li>➤ Will I get paid?</li> <li>➤ Is my job safe?</li> <li>➤ When do I come back to work?</li> </ul>
<b>Family / Next of kin</b>	<ul style="list-style-type: none"> <li>➤ Immediately</li> <li>• The extent of the event</li> <li>• Names of individuals involved and injuries</li> <li>• Access to counseling services</li> </ul>	<ul style="list-style-type: none"> <li>➤ What has happened?</li> <li>➤ Who are they staff members involved and are they safe?</li> <li>➤ What do we do now? Or later?</li> <li>➤ How could it happen?</li> <li>➤ Who is to blame?</li> </ul>
<b>Board / Council / Committee</b>	<ul style="list-style-type: none"> <li>• Impact on local communities / customers</li> <li>• Timeline to normal capability and capacity</li> </ul>	<ul style="list-style-type: none"> <li>➤ What has happened and why?</li> <li>➤ What is being done to fix it?</li> <li>➤ What are the impacts on local communities / customers and how are these being managed?</li> <li>➤ When will normal capability and capacity be restored?</li> </ul>
<b>Auditors</b>	<ul style="list-style-type: none"> <li>• The nature of the event</li> <li>• Immediate impacts on operational capability</li> <li>• Expected recovery performance</li> </ul>	<ul style="list-style-type: none"> <li>➤ Impacts on cash flow?</li> <li>➤ Financial and brand/image impacts, short term viability etc.?</li> <li>➤ Longer term impacts on organisation?</li> <li>➤ Asset valuation changes?</li> <li>➤ What is being done to prevent it from happening again?</li> </ul>
<b>Local Community</b>	<ul style="list-style-type: none"> <li>➤ Immediately</li> <li>• That an event has occurred</li> <li>• Safety concerns for the local area</li> </ul>	<ul style="list-style-type: none"> <li>➤ What has happened?</li> <li>➤ Is it safe?</li> <li>➤ Could it happen again?</li> <li>➤ What is being done to ensure that it does not happen again?</li> </ul>



Notification Chart		
Audience	Organisational context	Likely questions
<b>Customers</b>	<ul style="list-style-type: none"> <li>• That an event has occurred</li> <li>• Impact on service/product delivery</li> <li>• Alternate delivery arrangements</li> </ul>	<ul style="list-style-type: none"> <li>➤ What is the impact on product/service quality?</li> <li>➤ How will delivery be affected?</li> <li>➤ How will contractual conditions be affected?</li> <li>➤ Will the organisation be able to continue?</li> <li>➤ What compensation will be made available?</li> <li>➤ What other alternate sources of the product/service exist?</li> <li>➤ What is the customer's relative priority/importance to the organisation?</li> </ul>
<b>Suppliers</b>	<ul style="list-style-type: none"> <li>• That the event has occurred</li> <li>• Changes in supply requirements</li> <li>• Alternate arrangements for receipt of supplies</li> <li>• Alternate arrangements for accounts payable</li> </ul>	<ul style="list-style-type: none"> <li>➤ Will my bills be paid?</li> <li>➤ Changes to supply requirements?</li> <li>➤ How long will inventory be required to be held for?</li> <li>➤ Capacity for changed pricing?</li> <li>➤ Likely duration of supply changes?</li> <li>➤ Compensation available under contractual conditions?</li> </ul>
<b>Regulators</b>	<ul style="list-style-type: none"> <li>• That the event has occurred and how</li> <li>• How it will be fixed</li> <li>• How it will be prevented from happening again</li> </ul>	<ul style="list-style-type: none"> <li>➤ What has happened?</li> <li>➤ How did it happen?</li> <li>➤ What is being done to fix it?</li> <li>➤ What is being done to prevent it happening again?</li> <li>➤ What are the compliance / capability / performance of other related areas?</li> <li>➤ Are all relevant rules and regulations being adhered to?</li> </ul>
<b>Media</b>	<ul style="list-style-type: none"> <li>• That an event has occurred</li> <li>• Factual. Only what is known. No assumptions</li> <li>• What measures are being put in place</li> </ul>	<ul style="list-style-type: none"> <li>➤ What has happened and how?</li> <li>➤ Who is to blame?</li> <li>➤ Can it happen again?</li> <li>➤ What similar events have happened previously?</li> </ul>

## Appendix B – Pandemic Checklist

This Guide should be used to help ensure the health and safety of staff by implementing protocols to limit the spread of the virus and limit potential exposure for employees while still delivering essential services.

State-level disaster plans are separate to Business Continuity Plans as their focus is on community response and not for an individual organisation.

A Pandemic may result in a loss of critical staff and/or an inability to access the workplace safely and/or a supply disruption. Impacts include:

### Health Impacts:

- High proportion of population become too unwell to undertake normal activities,
- An increased demand on health care facilities and assets,
- Re-direction of resources, to assist increasing demands for health care,
- Possible ongoing physical and mental health issues.

### Community Impacts:

- Threatened supply reduction to critical infrastructure and services,
- Burial capacity may not meet expectations,
- Closure/restriction of social interaction activities, disrupting community life,
- Demand for some pharmaceutical goods outstripping supply,
- Diminished community confidence in government and care facilities,

### Social Impacts:

- Isolation may cause social disruption, causing social segregation,
- Increased support needs for vulnerable people (carers may not be available),
- Volunteer services disrupted,
- Negative impacts from a change in work practices and environments,
- Increased needs for physical and financial support for home quarantine requirements,
- Law and order issues, potential community anxiety.

### Economic Impacts:

- Reduction in trade and commerce, to local economy,
- Business activities disrupted leading, to possible business failure/s,
- Loss of existing employment,
- Shift in demand for goods and services,
- Reduced cash flow resulting in economic downturn,
- Potential rationing of goods and services,
- Loss of tourism,
- Extensive economic recovery period,
- Global impact for widespread pandemics

**Reference:** State Hazard Plan – Human Biosecurity (2019)



Description of infection	Recommended Actions
<p>Human infection anticipated / Minimal human to human transmission</p> <p>High proportion of population become too unwell to undertake normal activities, Ongoing physical and mental health issues.</p>	<ul style="list-style-type: none"> <li>• Consider implementing remote work arrangements, especially for key staff and those who rely on public transport.</li> <li>• Consider suspending all overseas / interstate travel.</li> <li>• Purchase health and safety consumables such as tissues, disinfectant, gloves and facemasks.</li> <li>• Increase cleaning schedules.</li> <li>• Update staff, stakeholder and supplier contact lists.</li> <li>• Create pre-scripted messages to address staff and other stakeholders.</li> <li>• Plan for ways to increase social distancing and face-to-face contact between staff, customers, visitors and vendors, such as: <ul style="list-style-type: none"> <li>○ Modifying, postponing, or cancelling meetings, gatherings, training sessions or conferences.</li> <li>○ Encouraging video conferencing, staggered shifts and breaks and working from home.</li> </ul> </li> <li>• Develop protocols for infection control for employees who are exposed to the pandemic, are suspected to be ill, or become ill at work.</li> <li>• Update employee compensation and sick-leave absence Policies.</li> <li>• Provide delegations of authority, orders of succession for key roles and a fast-track procurement process.</li> <li>• Consider cross-training personnel for delivery of essential functions.</li> <li>• Review insurance policies for business interruption or event cancellation terms.</li> <li>• Educate staff that if they are unwell, or a member of their family has contracted the virus, that they should not go to work.</li> <li>• Prepare rosters that have no overlaps and include sufficient time for disinfecting the area before the new shift arrives.</li> <li>• Encourage staff to eat at their desks and stagger breaks to prevent groups meeting in the break rooms.</li> <li>• Provide staff with details of clinics, designated hospitals, infection control guidelines and other relevant information.</li> <li>• Test the Business Continuity Plan to examine: <ul style="list-style-type: none"> <li>○ How continuity will be affected in an environment of high absenteeism</li> <li>○ When all but critical functions would be suspended</li> <li>○ When the necessary resources are not available because suppliers are not equally well prepared for a pandemic</li> <li>○ When regions are quarantined and moving personnel is restricted</li> <li>○ When schools are closed</li> <li>○ A process for reopening facilities and resuming business functions</li> </ul> </li> </ul>



Description of infection	Recommended Actions
<b>Human infection / Human to human transmission - localised</b>  <b>Activating</b> <b>Documenting</b>	<ul style="list-style-type: none"> <li>• Activate remote work arrangements</li> <li>• Implement social distancing at work</li> <li>• Cancel all non-essential work</li> <li>• Activate rosters that have no overlaps and include sufficient time for disinfecting the area before the new shift arrives</li> <li>• Maximise building ventilation</li> <li>• Require staff to wear masks, introduce cough etiquette and other hygiene measures</li> <li>• Requirement for Staff to provide evidence of appropriate medical advice e.g. vaccination certificate</li> <li>• Use of QR code</li> <li>• Undertake daily temperature checks of staff</li> <li>• Clean all touched surfaces between shifts</li> <li>• Maintain a register of staff who get sick</li> </ul>
Description of infection	Recommended Actions
<b>Widespread Pandemic</b>  <b>Communicate</b>	<ul style="list-style-type: none"> <li>• <b>Maintain contact with all employees and stakeholders and provide situational updates.</b></li> <li>• <b>When a vaccine becomes available, organise for staff to be vaccinated as early as practical.</b></li> </ul>
<b>Pandemic Subsided</b>  <b>Debrief</b>	<ul style="list-style-type: none"> <li>• Implement plans for the restoration of operations.</li> <li>• Conduct post-pandemic debrief to capture lessons learned for the future.</li> </ul>

A Pandemic is declared “ended” when evidence indicates that the virus worldwide, is transitioning to seasonal patterns of transmission.



# Appendix C – Incident Leader Checklist

Incident Leader Checklist		
<p>Convene the Incident Management Team to review the situation at the muster point (if applicable), then moving to an <i>'Incident Control Centre'</i> venue in one of the following venues:</p> <ul style="list-style-type: none"> <li>• <b>CEO's Office/Chambers</b> *If inaccessible;</li> <li>• <b>Another office in the Admin Building (to be determined)</b></li> <li>• <b>Depot</b></li> <li>• <b>Grove Library</b></li> <li>• <b>Work from home</b></li> <li>• <b>MS Teams</b></li> <li>• <b>A facility in another Local Government</b> (Subiaco, Peppy Grove, Nedlands, Mosman Park, Claremont, Vincent, etc)</li> </ul> <p>Arrange access and teleconferencing facilities at <i>Incident Control Centre</i>. Nominate a scribe. Determine Leadership Team roles and responsibilities.</p>	<div style="border: 2px solid blue; padding: 5px; color: white; text-align: center;">                     Nominate a scribe to log all activities for investigators                 </div>	<p style="text-align: center;"><b>Incident Management Team Leader</b></p> <p style="text-align: center;">Date &amp; Time</p>
<p>Start recording an assessment of the situation:</p> <p><b>This is what we know (&amp; who is impacted?)</b> .....</p> <p>.....</p> <p><b>This is what we don't know</b>.....</p> <p><b>This is what we need you to do</b>.....</p> <p><b>This is what we're going to do</b>.....</p> <p>A more detailed assessment checklist can be found at <a href="#">'Assess'</a>.</p>	<p style="text-align: center;">Delegated to:</p>	<p style="text-align: center;">Date &amp; Time</p>
<p>What is your desired realistic outcome? Determine objectives:</p> <p>Objective 1) .....</p> <p>Objective 2) .....</p>	<p style="text-align: center;">Incident Management Team Leader</p>	<p style="text-align: center;">Time</p>
<p>Secure involvement of staff from support areas with expertise relevant to the incident (HR/I.T./Works, etc.) (<a href="#">Support Specialists</a> contact list on Page 6). Consider seeking assistance from parties outside of the organisation.</p>	<p style="text-align: center;">Incident Management Team Leader</p>	<p style="text-align: center;">Date &amp; Time</p>
<p>Arrange Stakeholder and staff communications. (Email, Text messaging, Teams, WhatsApp, Social Media, White Board, Bulletin board) For templates: <a href="#">Appendix A – Communications Guidelines</a></p>	<p style="text-align: center;">Delegated to:</p>	<p style="text-align: center;">Date &amp; Time</p>
<p>Determine employee support &amp; wellbeing requirements See:<a href="#">3A. Employee's support &amp; wellbeing requirements</a> for a checklist).</p>	<p style="text-align: center;">Delegated to:</p>	<p style="text-align: center;">Date &amp; Time</p>



Incident Leader Checklist		
Contact all relevant Stakeholders who need to be informed about the incident or will be affected by the incident, including local businesses, schools & community leaders where appropriate (See: <a href="#">Key Contacts checklist</a> )	Delegated to:	Date & Time
Consider nominating a trusted administrator to assist you to work through the checklists and act in an advisory capacity (as a right-hand person)	Delegated to:	Date & Time
Obtain details of any witnesses, photographic or CCTV evidence	Delegated to:	Date & Time
If moving staff to a new work facility ***Set up sufficient workstations for completion of time-sensitive activities such as Payroll, Communications and Customer Services. (See: <a href="#">Time-sensitive activity list</a> ).	Delegated to:	Date & Time
Contact any relevant contractors to confirm if they have been affected by the incident (See: <a href="#">Key Contacts checklist</a> )	Delegated to:	Date & Time
Arrange legal or expert advice if required	Delegated to:	Date & Time
<p><b>Determine Management and Staff roles and responsibilities before sending anyone home (if applicable):</b></p> <p><b>Make sure:</b></p> <p>If you're sending staff home, that they are actually capable of getting home and not (for example) in shock or ill and unable to drive.</p> <p>Ask them if a family member or friend can fetch them, or arrange an ambulance or taxi. DO NOT call a taxi if they are infectious.</p> <p>That they are able to contact their families if they need or want to.</p> <p><b>Make sure they understand:</b></p> <ul style="list-style-type: none"> <li>• Where they should go</li> <li>• What they should do and how they should do it</li> <li>• The options available to them</li> <li>• Reporting arrangements</li> <li>• That their jobs are safe, if applicable, or the options available to them</li> <li>• When they should come back to work</li> <li>• When the next communication can be expected and how it will be communicated.</li> </ul> <p>Remind them about the Town's <b>Social Media policy</b> (not to talk to the Press, or post anything on Facebook, or alert Friends). If an employee is approached for a comment, they should refer the media body to you as the Incident Leader.</p> <p>Contact and instruct staff not affected by the incident, currently off site, on leave or located elsewhere.</p> <p>Consider Union involvement.</p> <p>A main internal point of contact should be nominated and provided to all staff should they need to communicate. Update staff contact list and send bulk texts if applicable.</p>	Delegated to:	Date & Time





<b>Incident Leader Checklist</b>		
Depending on the nature of the incident, <b>consider:</b> <ul style="list-style-type: none"> <li>Requesting assistance from contractors or stakeholders</li> <li>Staffing requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>Supply requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>Other resources or equipment required for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>Clearing backlogs</li> <li>Leadership and staff rotation / rostering</li> </ul>	Delegated to:	Date & Time
Notify neighbours if relevant	Delegated to:	Date & Time
Notify insurer and seek advice if relevant	Delegated to:	Date & Time
Remind staff to photograph all evidence prior to initiating urgent repairs (for insurance purposes)	Delegated to:	Date & Time
Ensure emergency funds are available if required	Delegated to:	Date & Time
Arrange for phones to be diverted and set up a temporary reception area.	Delegated to:	Date & Time
Agree future location of your Incident Control Centre and future meeting times for convening the Incident Management Team.	Delegated to:	Date & Time
<b>***Note:</b> Always consider that your decisions may not be popular with some people/groups. Risk-manage your decisions by considering in advance who could disagree, and the reasons why, and determine suitable responses/actions for those people/groups when they make themselves known.		
<b>Assess and Prioritise:</b> <ol style="list-style-type: none"> <li>A. <u><a href="#">Employee's support &amp; wellbeing requirements</a></u></li> <li>B. <u><a href="#">Time-Critical business functions</a></u></li> <li>C. <u><a href="#">Other Considerations</a></u></li> <li>D. <u><a href="#">All upcoming activities or events</a></u></li> <li>E. <u><a href="#">Key contacts / Organisations / Contractors to be contacted</a></u></li> </ol> <p><b>*After assessing and prioritising, focus your resources where they're needed most</b></p>		
<b>See 'Scenario-Specific' Checklists for more specific information relating to:</b> <ul style="list-style-type: none"> <li><u><a href="#">Loss of Staff</a></u></li> <li><u><a href="#">Loss of (or access to) buildings / infrastructure / equipment</a></u></li> <li><u><a href="#">Loss of I.T., Data or Communications</a></u></li> <li><u><a href="#">Loss of key Suppliers</a></u></li> </ul>		
<b>End of Incident Leader Checklist</b>		

# TOWN OF COTTESLOE



## AUDIT COMMITTEE

# ATTACHMENT

## ITEM 8.2.1A: COMPLIANCE CALENDAR

## Compliance Calendar 2022/23 - Town of Cottesloe

Updated November 2022

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance
	<b>April - Take Action</b>								
Apr	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Finance Manager			Complete
Apr	<b>Elections - Enrolment Eligibility Claims (Owners and Occupiers) Register</b> - Prepare for Elections - Review register and take action re expired Eligibility Claims (no longer property owner / claim based on occupation or nominee expired)	Local Government Act 1995	s.4.35 Elections Regs.14 and 15 Form 6 and 7	WALGA Template Enrolment Eligibility Claims Register	Biannual (Apr & Nov)	Director Corporate and Community Services & Corporate Services and Engagement Officer			Remains outstanding
Apr	<b>Public Access to Information - Audit</b> Check LG website, Library and LG office to ensure all information listed in s.5.94 and Admin. Reg.29 is publicly accessible (see s.5.96 too) and that customer service staff are trained to provide access accordingly. Audit to note limitations: s.5.95 and Admin. Regs. 29A and 29B	Local Government Act 1995	s.5.94 Admin. Reg.29 s.5.95 s.5.96 Admin. Regs 29A and 29B	WALGA Guideline - Schedule of Public Information Access	Annual	Director Corporate and Community Services & Finance Manager			In progress
	<b>Other - Check Regulation 17 Review</b>					Director Corporate and Community Services	6/09/2022	D22/43013	Complete
	<b>May - Take Action</b>								
May	<b>Other - Review Delegations Register</b>					Director Corporate and Community Services	May-22	D22/20590	Complete
	<b>June - Take Action</b>								
Jun	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Finance Manager	26/07/2022	D22/31706	Complete
Jun	<b>Emergency Services Levy - Option A Remittance</b> <b>DUE by: 21st of the month</b> Option A Remittance Report - see Form B Schedule 5 and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures	Clause 5.13.	DFES -ESL Manual of Operating Procedures	Monthly	Finance Manager	13/05/2022	D22/23302	Complete
Jun	<b>Emergency Services Levy - Option B Payment</b> <b>Due Due by: 21 June</b> and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures		DFES -ESL Manual of Operating Procedures	Quarterly	Finance Manager	15/07/2022	D22/30863	Complete
Jun	<b>Decision Objection and Review Rights - Internal Audit</b> Review the LG's template permits, licences, notices and approval letters issued under the Act and Local Laws to ensure they include advice to the recipient of their objection and review rights.	Local Government Act 1995	s.9.4		Annual	Director Development and Regulatory Services			Complete
Jun	<b>FOI Annual Statistical Data</b> - Response to Information Commissioner <b>Due by: 30 June</b>	Freedom of Information Act 1992	s.111(3)		Annual	Corporate Services and Engagement Officer	15/07/2022	D22/036096	Complete

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Jun	<b>Information Statement</b> LG must publish an up-to-date <i>Information Statement</i> , reviewed within every 12-months Last completed: 22/08/22 <b>Due by: 21/08/2023</b>	Freedom of Information Act 1992	s.96		Annual	Executive Services Officer	22/08/2022	D22/43034	<b>Complete</b>
Jun	<b>Information Statement &amp; Internal Manuals - Publicly Available</b> LG must cause copies of the most up-to-date Information Statement and internal manuals to be made available for public inspection (deleting any exempt matter from those copies).	Freedom of Information Act 1992	s.97		Annual	Executive Services Officer			<b>In progress</b>
Jun	<b>Financial Reporting - Material Variances</b> Each Financial Year, a LG is to adopt a percentage or value, calculated in accordance with AAS, to be used in statements of financial activity for reporting material variances. ( <i>adopt and apply in the following Financial Year</i> )	Local Government Act 1995	s.34(5)		Annual	Finance Manager			<b>Complete</b>
Jun	<b>Revaluation of Assets - Plant and Equipment</b> LG must revalue all assets within the Plant and Equipment Class by the expiry of each 3-yearly interval after 30 June 2016. <i>This is no longer a periodic legislative requirement.</i>	Local Government Act 1995	FM.Reg.17A(4)			Finance Manager			<b>NA</b>
Jun	<b>Revaluation of Assets - Land and Buildings</b> LG must revalue all assets within the Land Building and Infrastructure Class by the expiry of each 5-yearly interval. <b>Completed 2021.</b>	Local Government Act 1995	FM.Reg.17A(4)		5-yearly <b>Due by June 2026</b>	Finance Manager			<b>NA</b>
Jun	<b>Revaluation of Assets - Infrastructure</b> LG must revalue all assets within the Land Building and Infrastructure Class by the expiry of each 5-yearly interval.	Local Government Act 1996	FM.Reg.17A(4)		5-yearly <b>Due by June 2023</b>	Finance Manager			<b>In progress - desktop review.</b>
Jun	<b>Revaluation of Assets - All Other Classes of Assets</b> LG must revalue all other classes of assets (other than, Plant and Equipment and Land Building and Infrastructure classes) by the expiry of each 5-yearly interval.	Local Government Act 1995	FM.Reg.17A(4)		5-yearly	Finance Manager			<b>NA</b>
Jun	<b>Annual Budget (Start)</b> - During period 1 June to 31 August, Local Government is to prepare and adopt, by absolute majority, an Annual Budget for the next financial year.	Local Government Act 1995	s.6.2(1)	DLGSC WA Local Government Accounting Manual	Annually <b>Due by 31 August 2021</b>	All Directors and CEO Finance Manager Elected Members	9/08/2022	D22/35365	<b>Complete</b>
Jun	<b>Elections</b> - Electoral Commission agreement to conduct the election required by: (80th day) Report required to Council June OCM	Local Government Act 1995	s.4.20(2)(3)(4) s.4.61(2)(4)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial	Director Corporate and Community Services			<b>Related Document D20/43902.</b>

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	<b>July - Take Action</b>								
Jul	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Finance Manager	26/07/2022	D22/31706	Complete
Jul	<b>Emergency Services Levy - Option A Remittance Due by: 21st of the month</b> Option A Remittance Report - see Form B Schedule 5 and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures	Clause 5.13.	DFES - ESL Manual of Operating Procedures	Monthly	Finance Manager			Complete
Jul	<b>Primary Returns</b> - Request Primary Return from any new employee who is a Designated Employee. Return must be received by CEO within 3 months of the person's start day	Local Government Act 1995	s.5.75	WALGA Guideline - Primary and Annual Returns Management DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Bi-monthly	Executive Officer	31/08/2022	SUB/3448	Complete
Jul	<b>Financial Interests Register - Review</b> Review register to remove Primary and Annual Returns (not other interest disclosures) from the Financial Interest Register that relate to persons who are no longer Designated Employees (resigned or changed roles) or for Elected Members who have resigned. Returns that are removed are to be kept by the CEO as LG Record for at least 5 years after the person ceased to be a Designated Employee.	Local Government Act 1995	s.5.88(3)(4)		Bi-monthly	Executive Officer	31/08/2022	SUB/3448	Complete
Jul	<b>Emergency Services Levy - Year End ESL Reconciliation Lodgement and Aged Debtor Report Due by: 31 July</b>	DFES - ESL Manual of Operating Procedures	Clause. 5.13.5	DFES - ESL Manual of Operating Procedures	Annual Due: 31 July	Finance Manager			Complete
Jul	<b>Annual Returns</b> - Request Elected Members and Designated Employees to provide an Annual Return by no later than <b>31 August</b> CEO's Annual Return must be lodged with the President / Mayor	Local Government Act 1995	s.5.76(1)	DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Biennial	Executive Officer	31/08/2022	SUB/3448	Complete
Jul	<b>Elections</b> - Electoral Commission agreement to conduct the election required by: (80th day)	Local Government Act 1995	s.4.20(2)(3)(4) s.4.61(2)(4)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial	Director Corporate and Community Services			NA
Jul	<b>Other - DAIP Report</b>					Community Development Officer	30/08/2022	D22/036105	Complete
Jul	<b>Other - NAIDOC Week</b>					Events Coordinator			Complete
	<b>August - Take Action</b>								
Aug	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Finance Manager			Complete

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Aug	<b>Emergency Services Levy - Option A Remittance DUE by: 21st of the month</b> Option A Remittance Report - see Form B Schedule 5 and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures	Clause 5.13.	DFES -ESL Manual of Operating Procedures	Monthly	Finance Manager			Complete
Aug	<b>Elected Members</b> - Review Meeting Attendance Register - check EMs have not been absent for 3 consecutive meetings without Leave of Absence being granted - refer concerns to the CEO	Local Government Act 1995	s.2.25		Quarterly	Executive Officer			NA
Aug	<b>Elections - Statewide Public Notice Enrolment Eligibility Claims</b> - CEO to give notice of the closing date and time for elector enrolments. (to be given 70th to 56th days) <b>07/08/2023 to 21/08/2023</b>	Local Government Act 1995	s.4.39(2)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial <b>Next due 2023</b>	Director Corporate and Community Services & Corporate Services and Engagement Officer			NA
Aug	<b>Elections - For CEO to advise Electoral Commissioner of the need to prepare an updated residents roll 24/08/2023</b>	Local Government Act 1995	s.4.40(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial <b>Next due 2023</b>	Director Corporate and Community Services & Corporate Services and Engagement Officer			NA
Aug	<b>Elections - Statewide Public Notice Call for Nominations</b> - from 56 days and no later than 45th day before Election Day. <b>21/08/2023 to 01/09/2023</b>	Local Government Act 1995	s.4.47(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial <b>Next due 2023</b>	Director Corporate and Community Services & Corporate Services and Engagement Officer			NA
Aug	<b>Elections - Close of Rolls</b> at 5pm on <b>27/08/2023</b> . Enrolment eligibility claims received by 5pm can continue to be processed with a decision on eligibility required by	Local Government Act 1995	s.4.39(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial <b>Next due 2023</b>	Director Corporate and Community Services			NA
Aug	<b>Annual Returns</b> - Elected Members and Designated Employees to provide an Annual Return by no later than <b>31 August</b> CEO's Annual Return must be lodged with the President / Mayor.	Local Government Act 1995	s.5.76(1)	DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Annual <b>Due by: 31 August</b>	Executive Officer	31/08/2022	SUB/3448	Complete
Aug	<b>Annual Budget</b> - During period <b>1 June to 31 August</b> , Local Government is to prepare and adopt, by absolute majority, an Annual Budget for the next financial year.	Local Government Act 1995	s.6.2(1)	DLGSC WA Local Government Accounting Manual	Annual <b>Due by: 31 August</b>	All Directors and CEO Finance Manager Elected Members	9/08/2022	D22/35365	Complete
Aug	<b>Other - Public Health Report</b>					Director Development and Regulatory Services			To be advised, Freya
<b>September - Take Action</b>									
Sep	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Finance Manager			Complete
Sep	<b>Primary Returns</b> - Request Primary Return from any new employee who is a Designated Employee. Return must be received by CEO within 3 months of the person's start day	Local Government Act 1995	s.5.75	<b>WALGA Guideline - Primary and Annual Returns Management</b> DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Bi-monthly	Executive Officer			Complete

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Sep	<b>Financial Interests Register - Review</b> Review register to remove Primary and Annual Returns (not other interest disclosures) from the Financial Interest Register that relate to persons who are no longer Designated Employees (resigned or changed roles) or for Elected Members who have resigned. Returns that are removed are to be kept by the CEO as LG Record for at least 5 years after the person ceased to be a Designated Employee.	Local Government Act 1995	s.5.88(3)(4)		Bi-monthly	Executive Officer			Complete
Sep	<b>Emergency Services Levy - Option B Payment Due Due by: 21 September</b> and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures		DFES - ESL Manual of Operating Procedures	Quarterly	Finance Manager			Complete
Sep	<b>Elections - Candidate Information Session</b> Coordinate and promote a candidate information session - consider participation in WALGA Webinars.	n/a	n/a	WALGA Webinar Prospective Elected Members	Biennial Next due 2023	Director Corporate and Community Services			NA
Sep	<b>Elections - Statewide Public Notice Call for Nominations</b> - no later than 45th day before Election Day - <b>Due By: 2023</b>	Local Government Act 1995	s.4.47(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate and Community Services			NA
Sep	<b>Elections - Nominations Open 2023</b> - First day for candidates to lodge completed nomination papers with the returning officer. Nominations are open for eight days	Local Government Act 1995	s.4.49(a)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate and Community Services			NA
Sep	<b>Elections - Nominations Close</b> at 4pm on <b>Due By: 2023</b>	Local Government Act 1995	s.4.49(a)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate and Community Services			NA
Sep	<b>Elections - Declarations of Office</b> for new Elected Members elected unopposed (due 2 months from declaration of result - close of nominations) <b>Due By: 2023</b>	Local Government Act 1995	s.2.29	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate and Community Services			NA
Sep	<b>Elections - Candidate / Donor Gift Disclosures</b> - CEO written advice to Candidates of Elections Gift Disclosure obligations.	Local Government Act 1995	s.4.59 Elections Regs Part 5A Form 9A		Biennial Next due 2023	Director Corporate and Community Services			NA
Sep	<b>Elections - Residents Roll</b> to be prepared by Electoral Commissioner <b>Due By: 2023</b>	Local Government Act 1995	s.4.40(2)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate Services and Governance			NA
Sep	<b>Elections - Owners and Occupiers Roll</b> to be prepared and certified by CEO <b>Due By: 2023</b>	Local Government Act 1995	s.4.41(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate Services and Governance			NA
Sep	<b>Elections - Statewide Public Notice of Election Day</b> by Returning Officer - between 36th and 19th day before Election Day - <b>2023</b>	Local Government Act 1995	s.4.64(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate Services and Governance			NA
Sep	<b>Elections - Consolidated Roll</b> (Resident / Owners and Occupiers) at Returning Officer's discretion, to be completed by (22nd day before Election Day) <b>Due By: 2023</b>	Local Government Act 1995	s.4.38(1) Elections Reg.18	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate Services and Governance			NA
Sep	<b>Business Continuity Plan - Review</b> Review the Business Continuity Plan to ensure it remains functional and is tested against current operational requirements. Last completed: 01/10/2022 Next Due: 30/09/2024	n/a	n/a		Biennial Next Due: 2024				Complete

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Sep	Advertise Citizen of Year Awards					Events Coordinator			Complete
Sep	Other - Annual Accounts to Auditor					Finance Manager			Complete 30/9/2022
	<b>October - Take Action</b>								
Oct	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly	Finance Manager			
Oct	<b>Emergency Services Levy - Option A Remittance Due by: 21st of the month</b> Option A Remittance Report - see Form B Schedule 5 and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures	Clause 5.13.	DFES -ESL Manual of Operating Procedures	Monthly	Finance Manager			Complete
Oct	<b>Tender Register - Internal Audit</b> Review Register for compliance with F&G.Reg.17 and ensure the Register accurately and completely records all tenders.	Local Government Act 1995	F&G.Reg.17.		Annual	Director of Engineering	31/10/2022		Complete
Oct	<b>Elections - Declarations of Office for new Elected Members, Shire President / Mayor and Deputy Shire President / Mayor sworn in following Election Day (2 months from declaration of result) Due By: 16/12/2021</b>	Local Government Act 1995	s.2.29	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate and Community Services			NA
Oct	<b>Elections - Close of Absent Voting / Postal Voting Applications for 'in-person' elections (4th day before Election Day) Due By: 12/10/2021</b>	Local Government Act 1995	s.4.68(1)(c) Elections Reg.37(3)(4)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate and Community Services			NA
Oct	<b>Elections - Close of Early Voting 4.00pm Due By: 15/10/2021 for 'in-person' elections.</b>	Local Government Act 1995	s.4.71(1)(3) Elections Reg.59(2)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate and Community Services			NA
Oct	<b>Election Day - Close of Poll 6.00pm Due By: 16/10/2021</b>	Local Government Act 1995	s.4.7 s.4.68(1)(e)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate and Community Services			NA
Oct	<b>Elections - Result declared and published as Local Public Notice by Returning Officer as soon as practicable</b>	Local Government Act 1995	s.4.77 Elections Reg.80	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate and Community Services			NA
Oct	<b>Elections - Report to Minister (by 14th day after election) Due by: 30/10/2021</b>	Local Government Act 1995	s.4.79 Elections Reg.81	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate and Community Services			NA
Oct	<b>Primary Returns - Request new Elected Members - required to be lodged with CEO within 3 months of making Declarations of Office Due by: 16/01/2022</b>	Local Government Act 1995	s.5.75(1)	WALGA Guideline - Primary and Annual Returns Management DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Biennial Next due 2023	Executive Officer			NA
Oct	<b>Elections - Election Papers</b> collected and secured in one or more parcels by Returning Officer	Local Government Act 1995	s.4.84(a) Elections Reg.82	DLGSC Returning Officer Manual	Biennial Next due 2023	Director Corporate and Community Services			NA



**Compliance Calendar 2022/23 - Town of Cottesloe**  
 Updated November 2022

	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Position Title Officer Responsible for Action Compliance	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance
Oct	<b>Elections - Destruction of Election Papers</b> - parcels which are more than 4 years old may be destroyed, supervised by CEO and witnessed by at least 2 employees OR to secure paper destruction company	Local Government Act 1995	s.4.84(a) Elections Reg.82	DLGSC website - Returning Officer Manual	Biennial <b>Next due 2021</b>	Director Corporate and Community Services			NA
Oct	<b>Election of Shire President / Mayor, Deputy President / Mayor</b> - elected from amongst the Councillors - conducted in accordance with Schedule 2.3, Div.1	Local Government Act 1995	s.2.11(1)(b) Schedule 2.3,Div.1		Biennial <b>Next due 2023</b>	Chief Executive Officer			NA
Oct	<b>Establishment of Audit Committee</b> - following Elections, Council must establish an Audit Committee - with membership of 3 or more persons, by Absolute Majority, and appoint committee members and deputies. Each Elected Member is entitled to be a member of at least one committee.	Local Government Act 1995	s.7.1A s.5.8 s.5.9 s.5.10 s.5.11A s.5.11		Biennial <b>Next due 2023</b>	Director Corporate and Community Services			NA
Oct	<b>Establishment of Committees</b> - following Elections, Council may establish committees (other than Audit) of 3 or more persons, by Absolute Majority, and appoint committee members and deputies. Each Elected Member is entitled to be a member of at least one committee.	Local Government Act 1995	s.5.8 s.5.9 s.5.10 s.5.11A s.5.11		Biennial <b>Next due 2023</b>	Chief Executive Officer			NA
Oct	<b>Establishment of Committees</b> - Each committee has been established with a Terms of Reference, that details the purpose of the Committee and the scope of matters that the Committee will deal with.	Local Government Act 1995	s.5.8		Biennial <b>Next due 2023</b>	Chief Executive Officer			NA
Oct	<b>Election of Committee Presiding Members and deputies</b> - conducted in accordance with Schedule 2.3, Div.1	Local Government Act 1995	s.5.12 Schedule 2.3, Div.1		Biennial <b>Next due 2023</b>	Chief Executive Officer			NA
Oct	<b>Election Papers</b> - election of Shire President / Mayor, Deputy President / Mayor and Committee Presiding Members and deputies - Election Papers collected and secured in parcels	Local Government Act 1995	s.4.84(a) Elections Reg.82		Biennial <b>Next due 2023</b>	Director Corporate and Community Services			NA
Oct	Appointment of Elected Members to External Bodies -				Biennial <b>Next due 2023</b>	Chief Executive Officer			NA
Oct	<b>Financial Interests Register - Review</b> • Review register to remove Primary and Annual Returns (not other interest disclosures) from the Financial Interest Register that relate to persons who are no longer Designated Employees (resigned or changed roles). • Returns that are removed are to be kept by the CEO as LG Record for at least 5 years after the person ceased to be a Designated Employee.	Local Government Act 1995	s.5.88(3)(4)		Biennial <b>Next due 2023</b>	Executive Support Coordinator			Complete

Compliance Calendar 2022/23 - Town of Cottesloe

Updated November 2022

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	<p><b>Policy Review - Purchasing Policy</b> Review Purchasing Policy to ensure policy controls for the purchasing function remain efficient and effective, supporting best value and compliance with the Act. Last completed: 25/10/2022 <b>Due by: 24/10/2025</b></p>	Local Government Act 1995	F&G.Reg.11A.	<p><b>DLGSC</b> website - WA Local Government Accounting Manual - Section 7 <b>WALGA</b> website - Employee Relation Services Template HR Policies <b>WALGA</b> website - Template Purchasing Policy • See also - WALGA Integrity in Procurement Self Audit Tool <b>WALGA</b> website - Template Transaction Card Policy and Guidelines <b>Recommended Practice</b> • Schedule regular policy reviews, no more than 4 years interval. • Frequency of each policy's review based upon a risk analysis. • Check for legislative compliance.</p>	Triennial <b>Next Due: 2025</b>			NA	
Oct	<b>Elected Member Induction</b> - Provide an induction for newly elected Councillors.	n/a	n/a		Biennial <b>Next due 2023-2024</b>	Chief Executive Officer & Executive Officer		NA	
	<b>Other - Annual Report</b>					Finance Manager		In progress.	
Oct	<b>Other - Dog and Cat Registrations due</b>					Director Corporate and Community Services		Complete	
<b>November - Take Action</b>									
Nov	<p><b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.</p>	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC website - WA Local Government Accounting Manual	Monthly	Finance Manager			
Nov	<p><b>Emergency Services Levy - Option A Remittance</b> <b>Due by: 21st of the month</b> Option A Remittance Report - see Form B Schedule 5 and ESL Assessment Profile Return Form A</p>	DFES - ESL Manual of Operating Procedures	Clause 5.13.	DFES -ESL website - Manual of Operating Procedures	Monthly	Finance Manager			
Nov	<p><b>Primary Returns</b> - Request Primary Return from any new employee who is a Designated Employee. Return must be received by CEO within 3 months of the person's start day</p>	Local Government Act 1995	s.5.75	<p><b>WALGA</b> Guideline - Primary and Annual Returns Management <b>DLGSC</b> website - Operational Guideline No.21 Disclosure of Financial Interests in Returns</p>	Bi-monthly	Executive Officer			

**Compliance Calendar 2022/23 - Town of Cottesloe**  
Updated November 2022

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Nov	<b>Financial Interests Register - Review</b> • Review register to remove Primary and Annual Returns (not other interest disclosures) from the Financial Interest Register that relate to persons who are no longer Designated Employees (resigned or changed roles).or for Elected Members who have resigned. • Returns that are removed are to be kept by the CEO as LG Record for at least 5 years after the person ceased to be a Designated Employee.	Local Government Act 1995	s.5.88(3)(4)		Bi-monthly	Executive Officer			
Nov	<b>Elected Members</b> - Review Meeting Attendance Register - check EMs have not been absent for 3 consecutive meetings without Leave of Absence being granted	Local Government Act 1995	s.2.25		Quarterly	Executive Officer			
Nov	<b>Elections - Enrolment Eligibility Claims (Owners and Occupiers) Register</b> - Review register and take action re expired Eligibility Claims (no longer property owner / claim based on occupation or nominee expired)	Local Government Act 1995	s.4.35 Elections Regs.14 and 15 Form 6 and 7	<b>WALGA</b> website - Template Enrolment Eligibility Claims Register	Biannual (Apr & Nov)	Director Corporate and Community Services			
Nov	<b>Policy Review - Code of Conduct</b> Following each Election - provide Council report to enable the 'new' Council to review and adopt the Code of Conduct.	Local Government Act 1995	s.5.103 s.5.104 Admin.Reg. Part 9 Rules of Conduct Regs.	<b>WALGA</b> website - Model Code of Conduct  <b>Recommended Practice</b> • Review the Code following each Election cycle to ensure new (and old) Elected Members understand requirements.	Biennial <b>Next Due 2023</b>	Director Corporate and Community Services			NA
Nov	<b>Elections - Declarations of Office</b> for new Elected Members <b>elected unopposed</b> (due 2 months from declaration of result at close of nominations) <b>Due by: 2023</b>	Local Government Act 1995	s.2.29	<b>DLGSC</b> website - Elections Timetable <b>DLGSC</b> website - Returning Officer Manual	Biennial <b>Next due 2023</b>	Chief Executive Officer			NA
<b>December - Take Action</b>									
Dec	<b>Monthly Financial Report</b> LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	<b>DLGSC</b> website - WA Local Government Accounting Manual	Monthly	Finance Manager			
Dec	<b>Emergency Services Levy - Remittance</b> <b>DUE by: 21st of the month</b> Option A Remittance Report - see Form B Schedule 5 and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures	Clause 5.13.	<b>DFES -ESL</b> website - Manual of Operating Procedures	Monthly	Finance Manager			
Dec	<b>Emergency Services Levy - Option B Payment</b> <b>Due Due by: 21 December</b> and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures		<b>DFES -ESL</b> website - Manual of Operating Procedures	Quarterly	Finance Manager			

**Compliance Calendar 2022/23 - Town of Cottesloe**  
 Updated November 2022

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Dec	<b>Council / Committee Meeting Schedule</b> - At least once per year, determine meeting schedule for next 12 months (see January - and give Local Public Notice)	Local Government Act 1995	s.5.25(1)(g) Admin.Reg.12		Annual	Governance Coordinator			In progress
Dec	<b>Annual Report - Accepted</b> , by Absolute Majority, <b>by no later than 31st December</b>	Local Government Act 1995	s.5.53 s.5.54	<b>DLGSCI website</b> - WA Local Government Accounting Manual	Annual	Finance Manager			In progress
Dec	<b>Elections - Declarations of Office</b> for new Elected Members, Shire President / Mayor and Deputy Shire President / Mayor sworn in following Election Day (2 months from declaration of result) <b>2023</b>	Local Government Act 1995	s.2.29	<b>DLGSC website</b> - Elections Timetable <b>DLGSC website</b> - Returning Officer Manual	Biennial <b>Next due 2023</b>	Chief Executive Officer			NA
Dec	<b>Master Compliance Calendar</b> - Review the Master Compliance Calendar content and consult with the LGs CEO, Executive and key employees to identify any additional Compliance Actions for inclusion in the next year's Master Compliance Calendar.	n/a	n/a		Annual	Director Corporate and Community Services & Corporate Services and Engagement Officer			In progress
	<b>Record Keeping Plan - Review</b> The LG's Record Keeping Plan must be reviewed within 5 years of its approval by the Commission Last completed: <b>06/12/2022</b> <b>Due by: 05/12/2023</b>	State Records Act 2000 Local Government Act 1995	s.28(5) s.5.41(h)	<b>State Records Office website</b> - Record Keeping Plan Templates and Guidelines	5-yearly <b>Next Due: 2023</b>	Chief Executive Officer	6/12/2021	D21/54331	NA
	<b>Risk Management - Review</b> Undertake a review of the appropriateness and effectiveness of the Risk Management system and procedures at least once every 2 calendar years. CEO to report Review results to Council via the Audit Committee. Last completed (OCM decision date): <b>13/12/2022</b> <b>Due by: 12/12/2024</b>	Local Government Act 1995	Audit.Reg. 17(1)(a)	<b>AS/NZS ISO 31000:2009 Risk Management</b>	Biennial <b>Next Due: 2024</b>	Chief Executive Officer	2/09/2022	D22/36130 D22/36138	Complete
Dec	<b>Other - Annual Electors Meeting</b>				Annual	Chief Executive Officer			

Chief Executive Officer: Matthew Scott  
 Director Engineering Services: Shaun Kan  
 Director Development & Regulatory Services: Freya Ayliffe  
 Director Corporate and Community Services: Shane Collie  
 Finance Manager: Sarah Jessop  
 Planning Manager: Wayne Zimmerman  
 Acting Project Manager (Engineering): Josh Lappan  
 Executive Services Officers: Rachel Cranny, Janet Boyle & Kate Saunders  
 Governance and Executive Support Coordinator: Jackie Pilkington  
 Acting Manager People & Culture: Tracey Crouch  
 Communications & Marketing Coordinator: Lisa Mattiske  
 Statutory Planning Coordinator: Ed Drewett

Compliance Calendar Sources:  
 Compliance items, see also:WALGA Guideline for Implementing a Compliance Calendar  
 Department of Local Government, Sporting and Cultural Industries (DLGSCI)

# TOWN OF COTTESLOE



## AUDIT COMMITTEE

# ATTACHMENT

## ITEM 8.2.2A: AUDIT COMMITTEE RESOLUTION DATABASE

## Audit Committee Resolution Database

Updated November 2022

Council Meeting	Item Number	Item Title	Resolution	Complete (Y/N)	Comments
22-Mar-22	10.1.3	Budget Review 2021/22	<b>OFFICER RECOMMENDATION AND COUNCIL RESOLUTION</b> <b>THAT Council:</b> <b>1. RECEIVES the Budget Review for the Financial Year 2021/22;</b> <b>2. ADOPTS the amendments contained within the attached Budget Review document;</b> <b>3. SETS the materiality levels of \$25,000 for the monthly reporting of significant variances of income and expenditure in the Statement of Financial Activity;</b> <b>4. TRANSFERS an amount of \$250,000 to the Public Open Space Reserve.</b> <b>5. NOTES the predicted closing surplus of \$40,509 to be carried forward to 2022/23.</b>	Y	Budget Review loaded. Reserve Transfer completed at 30/06/22. OCM051/2022 Actions closed at EOFY 22.
26-Apr-22	10.1.2	Corporate Business Plan Review	<b>OFFICER RECOMMENDATION AND COUNCIL RESOLUTION</b> <b>1. THAT Council NOTES the Review undertaken of its Corporate Business Plan for 2021/22 confirming that no change to the Plan is necessary.</b> <b>2. THAT Council INCLUDES as part of the Draft Budget development for 2022/23 costs associated with the development of including Community Engagement for a new Strategic Community Plan.</b>	Y	The Budget was adopted by Council at the 26 July 2022 OCM. \$25,000 allocated for the development of the Strategic Community Plan.
08-Jun-22	8.1.1	2022 Financial Management Review	<b>OFFICER RECOMMENDATION AND COUNCIL RESOLUTION</b> <b>THAT Council:</b> <b>1. THAT the Audit Committee RECOMMENDS to Council that the matters identified in the 2022 Financial Management Review be noted, and the actions of staff in responding to these matters be endorsed.</b> <b>2. THAT the Administration provides a progress report to the Audit Committee on the actions recommended in the 2022 Financial Management Review.</b>	Y	All tasks are complete.