

SHIRE OF KOJONUP



## Audit & Risk Committee Agenda

7 May 2024

## **TERMS OF REFERENCE**

### **AUDIT & RISK COMMITTEE**

Established under Section 7.1 of the *Local Government Act 1995 (Act)* - every local government must have an Audit and Risk Committee (ARC).

#### **Terms of Reference**

ARC is responsible for assisting and independently advising Council in recommending appropriate actions and controls with regards to audit, risk oversight, governance, finances and systems of internal control.

Its role is to provide oversight related to significant risk exposures and control issues, including fraud risks, governance issues and other matters as necessary or requested by the CEO or Council. This is to ensure the Shire's activities are fully compliant with legislation, regulations, accounting and reporting Standards and that the Shire is executing its responsibility to the community in efficiently utilising their assets.

The ARC is not responsible for the executive management of these functions. The ARC will engage with management in a constructive and professional manner in discharging its advisory responsibilities and formulating its advice to Council.

#### **Duties and Responsibilities:**

Members of the ARC are expected to observe the legal and regulatory obligations of the Local Government.

Committee members must not use or disclose information obtained through the ARC except in meeting the ARC's responsibilities, or unless expressly agreed by the President of the Shire.

Committee Members must adhere to the Code of Conduct for Council Members, Committee Members and Candidates and demonstrate behaviour which reflects the Shire's desired culture.

#### **ARC Members are expected to:**

1. act in the best interests of the Shire as a whole;
2. apply good analytical skills, objectivity and good judgement;
3. express opinions constructively and openly, raise issues that relate to the ARC's responsibilities and pursue lines of enquiry in relation to the "Risk Controls" the Shire has in place;
4. contribute the time required to meet their responsibilities; and
5. exercise due care, diligence and skill when performing their duties.

#### **Member Duties/Responsibilities:**

- Oversee the Shire's risk management, through:
  - a) Biennial review of the Shire's Risk Management Policy;
  - b) Recommending and reviewing the Shire's Risk Appetite Statement in order to recommend the organisation's Risk Tolerance to the Council;
  - c) Reviewing reports on the movement of the Shire's current strategic risks, and the emergence of new strategic risks;
  - d) Overseeing strategic risks which sit outside of the Shire's Risk Appetite ; and
  - e) Monitor and receive reports concerning the development, implementation and on-going management of the Shire's Risk Management Plan and the effectiveness of its Risk Management Framework;
- Overseeing the Shire's processes for managing fraud and corruption, by:
  - a) Performing oversight responsibilities and advising Council;

- b) Enquiring with the CEO and the Office of the Auditor General (OAG) about whether they are aware of any actual, suspected, or alleged fraud or corruption affecting the Shire; and
- c) Reviewing summary reports from the CEO on communication from external parties including regulators that indicate problems in the internal control system or inappropriate management actions.
- Overseeing the Shire’s financial management and legislative compliance, by:
  - a) Reviewing the Shire’s annual Compliance Audit Return and reporting the results of that review to Council, in accordance with the Local Government (Audit) Regulations 1996;
  - b) Receiving and reviewing reports from the CEO regarding the appropriateness and effectiveness of the Shire’s legislative compliance and ensuring any non-compliances are rectified on a timely basis;
  - c) Considering and recommending adoption of the annual financial report to Council;
  - d) Receive and review the biannual reports from the Chief Executive Officer (CEO) regarding the appropriateness and effectiveness of the Shire's risk management, internal controls and legislative compliance and make recommendations to Council; and
  - e) Consider and recommend adoption of the Annual Financial Report to the Council;
- Overseeing the internal audit function, by:
  - a) Assessing and making a recommendation to Council on an Internal Audit Plan to ensure that it comprehensively covers material business risks that may threaten the achievement of strategic objectives and which identifies key risks and control mechanisms;
  - b) Reviewing the quality and timeliness of internal audit reports;
  - c) Monitoring the implementation of internal audit recommendations; and
  - d) Considering the implications of internal audit findings on the organisation, its risks, and controls.
- Fulfilling responsibilities pertaining to external audit, by:
  - a) Reviewing reports from the OAG, including auditor’s reports, closing reports and management letters;
  - b) Reviewing management’s response to OAG findings and recommendations;
  - c) Monitoring the implementation of recommendations from external audits;
  - d) Reviewing results of relevant OAG audit reports and better practice publications for guidance on good practices, including any assessment by the CEO; and
  - e) Examine the reports of the auditor after receiving a report from the CEO on the matters and:
    - a. determine if any matters raised require action to be taken by the Shire; and
    - b. ensure that appropriate action is taken in respect of those matters.

Seek information or obtain expert advice through the CEO on matters of concern within the scope of the Committee’s terms of reference following authorisation from the Council.

### **Membership**

Four (4) Councillors; and

Two (2) Community Members

### **Supporting Team Members**

Manager Financial & Corporate Services  
Manager Governance & Administration  
Chief Executive Officer or delegated nominee

### **Meetings**

Quarterly for ordinary meetings and as required related to audit functions.

**Open to Public:** No

**Voting:** Voting is in accordance with Section 5.21 of the *Act*.

**Confidentiality:** All Committee members will be required to adhere to the Shire's confidentiality requirements as per the Code of Conduct for Council Members, Committee Members and Candidates.

**Conduct of Meetings:** ARC Meetings will be held in accordance with the *Act*, subsidiary legislation, and the Shire's Standing Orders.

### **Committee Sitting Fees and Reimbursements**

The Shire is prohibited under Section 5.98-5.99 of the *Act*, and Regulation 30 of the Local Government (Administration) Regulations 1996, to pay a council member a fee for attending the ARC.

Currently, the Shire is prohibited from remunerating independent committee members; however, reimbursement of approved expenses for independent members may be paid to each independent external member in accordance with Section 5.100 of the *Act*.

The rules regarding remuneration for independent committee members are currently under review as part of the Local Government Reforms (2023). These guidelines are subject to any legislation changes.

**AGENDA FOR AN AUDIT AND RISK COMMITTEE MEETING**  
**TO BE HELD ON 7 MAY 2024**

**TABLE OF CONTENTS**

1	DECLARATION OF OPENING	6
2	ATTENDANCE, APOLOGIES & LEAVE OF ABSENCE	6
3	SUMMARY OF RESPONSE TO PREVIOUS QUESTIONS TAKEN ON NOTICE	6
4	CONFIRMATION OF MINUTES	6
6	DECLARATIONS OF INTEREST	6
8	COMMITTEE TIMETABLE	7
9	COMMITTEE STATUS REPORT	8
10	SUMMARY OF RISK MANAGEMENT	10
11	OFFICER REPORTS	11
11.1	<i>BUSINESS CONTINUITY AND DISASTER RECOVERY PLAN – ANNUAL REVIEW</i>	<i>11</i>
12	CEO UPDATES	13
13	OTHER ITEMS FOR DISCUSSION OR FURTHER RESEARCH AS RAISED BY MEMBERS	13
14	NEXT MEETING	13
15	CLOSURE	13

## AGENDA

### 1 DECLARATION OF OPENING

The Chairman will declare the meeting open at \_\_\_\_\_ am and alert the meeting of the procedures for emergencies including evacuation, designated exits and muster points.

### 2 ATTENDANCE, APOLOGIES & LEAVE OF ABSENCE

#### MEMBERS

Cr Roger Bilney	Member (Chairperson)
Cr Paul Webb	Member
Cr Mick Mathwin	Member
Cr Kerry Mickle	Member
Cathrine Ivey	Community Member
Jill Mathwin	Community Member

#### STAFF (OBSERVERS)

Grant Thompson	Chief Executive Officer
Jill Johnson	Manager Financial and Corporate Services
Judy Stewart	Manager Governance and Administration

#### APOLOGIES

### 3 SUMMARY OF RESPONSE TO PREVIOUS QUESTIONS TAKEN ON NOTICE

Nil

### 4 CONFIRMATION OF MINUTES

Audit & Risk Committee Meeting held 6 February 2024 ([Attachment 4.1](#))

#### OFFICER RECOMMENDATION

That the minutes of the Audit & Risk Committee Meeting held on 6 February 2024 be confirmed as a true and accurate record.

### 5 BUSINESS ARISING

### 6 DECLARATIONS OF INTEREST

**7 SENIOR MANAGEMENT TEAM DISCUSSION**

In accordance with the Financial Management Review adopted in February 2019, one senior manager will attend the Audit & Risk Committee on a rotational basis to discuss the following:

- Update on Manager's areas of responsibility and current projects/issues;
- Questions on Notice from the Audit and Risk Committee;
- Management's own recommendations for improvement in key areas.

**8 COMMITTEE TIMETABLE**

As a guide and subject to availability, each Audit & Risk Committee agenda will contain the following (list to be expanded at the suggestion of members):

**1st Quarter (January – March)**

- Committee Status Report
- Compliance Audit Return
- Summary of Risk Management
- Volunteer Management
- Leave Provision Adequacy

**2nd Quarter (April – June)**

- Committee Status Report
- Summary of Risk Management
- Business Continuity Plan Review

**3<sup>rd</sup> Quarter (July – September)**

- Committee Status Report
- Interim Audit Report
- Summary of Risk Management
- Insurance Overview

**4<sup>th</sup> Quarter (October – December)**

- Committee Status Report
- Audit Report & Management Letter
- Annual Financial Report
- Annual Report
- Financial Management Review (each 3 years – 2021, 2024...)
- Risk, Legal Compliance & Internal Controls review (each 3 years – 2021, 2024...)
- Summary of Risk Management

The above list will remain at the commencement of each Committee agenda to act as a timetable and enable members to add to the items to be considered.

## 9 COMMITTEE STATUS REPORT

Date	Item Number & Title	Issue	Response	Status
2 November 2022	10.1 – Risk Management Update	Risk Management Framework, Risk Register and Key Organisational Risks Review.	To progress by September 2023	To be commenced
2 November 2022	11.2 – Financial Management Review	The recommendations and observations raised within the Report be reported back to the Audit and Risk Committee for monitoring.	FMR adopted by Council, issues currently being addressed by Manager Financial & Corporate Services	Ongoing
5 September 2023	Information Request	Roger House - Netball Courts costing (1/2 grant funded) figures – CEO/MFCS	<i>CEO Updated Council on the costs</i>	<i>Presentation to Audit &amp; Risk Committee required</i>
5 September 2023	Information Request	Cr P Webb - List of vehicles containing trackers – CEO		
5 September 2023	Information Request	Cr Gale - Expenditure - machinery maintenance and repairs – analyse to see if worthwhile upgrading or not – CEO/MFCS	<i>Council to assess purchases and expenditure on an individual purchase basis</i>	<i>Ongoing</i>
5 September 2023	13.1 - Information Request	CEO and MFCS to look into feasibility of reduction in insurance premiums if the Shire was to increase insurance excesses	<i>Requested with Insurer, assessing impact, not a straight correlation. MFCS to update ARC at next meeting</i>	<i>Commenced</i>
5 September 2023	Documentation	New Organisational Workforce Structure – CEO	<i>To be forwarded to Committee members after announcement of same</i>	<i>To be communicated</i>
6 February 2024	10.1 – Risk Dashboard Report	Boscabel Hall	MRS – check if people camping in grounds, arrange Boscabel Hall playground check.	<i>Not started.</i>



Date	Item Number & Title	Issue	Response	Status
6 February 2024	11.3 – Volunteers insurance	Volunteers insurance	CEO to research.	<i>Pending</i>

**10     SUMMARY OF RISK MANAGEMENT**

**10.1   RISK MANAGEMENT UPDATE**

Please refer to the following attachments:

- 10.1.1       Risk Dashboard Report – May 2024
- 10.1.2       Risk Actions Report – May 2024

**10.2   WORK HEALTH AND SAFETY**

The CEO will provide an update on Work Health and Safety matters.

## 11 OFFICER REPORTS

### 11.1 BUSINESS CONTINUITY AND DISASTER RECOVERY PLAN – ANNUAL REVIEW

AUTHOR	Judy Stewart – Manager Governance and Administration
DATE	Thursday, 2 May 2024
FILE NO	CM.PLN.1; RM.POL.1
ATTACHMENT(S)	11.1.1 – Business Continuity and Disaster Recovery Plan (BCDRP) May 2024 (showing changes) 11.1.2 – <b>UNDER SEPARATE COVER</b> BCDRP Addendum - Pandemic Response Plan 2024 (showing changes)

<b>‘PLACEMAKING’ STRATEGIC COMMUNITY PLAN JULY 2023 TO JUNE 2033</b> To be <i>“The Cultural Experience Centre of the Great Southern”</i> STRATEGIC/CORPORATE IMPLICATIONS		
Key Strategic Pillar/s	Community Goal/s	Corporate Objective/s
Performance	12. A High Performing Council	12.2 SoK monitoring and reporting

#### DECLARATION OF INTEREST

Nil

#### SUMMARY

To consider and recommend to Council the reviewed and updated Business Continuity and Disaster Recovery Plan including a Pandemic Response Plan.

#### BACKGROUND

The Council last reviewed its Business Continuity and Disaster Recovery Plan (Plan) in May 2023.

#### COMMENT

A Business Continuity and Disaster Recovery Plan, including a Pandemic Response Plan, provides guidance at a time when an organisation may be under considerable duress following a disaster that has affected, or in the event of a pandemic continues for some time to affect, the ability to provide essential or required services. Such a Plan identifies priorities and the resources required to return services in as quick and efficient manner as possible or to guide the organisation through a sustained event, aiming to minimise negative impact. Due to the upheaval that may be caused by such events, including dealing with the confusion that may accompany them, a well thought out Plan containing current, up to date information is a vital resource.

Changes to the current Plan are tracked and shown in red font in the attachments and relate to changes in personnel roles and contact details.

#### CONSULTATION

Chief Executive Officer

All Managers

Admin/Domestic Coordinator, Springhaven

### **STATUTORY REQUIREMENTS**

*Local Government Act (1995): s 5.56. Planning for the future*

- (1) A local government is to plan for the future of the district.
- (2) A local government is to ensure that plans made under subsection (1) are in accordance with any regulations made about planning for the future of the district.

### **POLICY IMPLICATIONS**

The Plan is completed in accordance with Council's Risk Management Policy 2.3.5 and Business Continuity Policy 2.3.6.

### **FINANCIAL IMPLICATIONS**

Nil

### **RISK MANAGEMENT IMPLICATIONS**

The Plan represents part of the Shire's Risk Management documentation. It is vital, from a business continuity and disaster recovery perspective, that details within such a Plan are as current as possible and regular reviews are undertaken.

### **ASSET MANAGEMENT IMPLICATIONS**

Nil

### **SOUTHERN LINK VROC (VOLUNTARY REGIONAL ORGANISATION OF COUNCILS) IMPLICATIONS**

Nil

### **VOTING REQUIREMENTS**

Simple Majority

### **OFFICER RECOMMENDATION**

That it be recommended to the Council that the updated Business Continuity and Disaster Recovery Plan May 2024, including the Pandemic Response Plan 2024, as presented, be adopted.

**12     CEO UPDATES**

12.1    SPRINGHAVEN

12.2    RISK REVIEW

12.2.1 Risk Assessment of Showgrounds (attachment)

**13     OTHER ITEMS FOR DISCUSSION OR FURTHER RESEARCH AS RAISED BY MEMBERS**

**14     NEXT MEETING**

The next meeting of the Audit and Risk Committee is scheduled to be held Wednesday, 7 August 2024 at 9:00am.

**15     CLOSURE**

There being no further business to discuss, the Chairperson thanked members for their attendance and declared the meeting closed at \_\_\_\_\_ am.

**ATTACHMENTS (SEPARATE)**

4.1 - Audit & Risk Committee Minutes 6 February 2024

10.1.1 - Risk Dashboard Report – May 2024

10.1.2 - Risk Actions Report – May 2024

11.1.1 – Business Continuity and Disaster Recovery Plan (BCDRP) May 2024 (showing changes)

12.2.1 - 12.2.1 Risk Assessment of Showgrounds

**UNDER SEPARATE COVER**

11.1.2 - BCDRP Addendum - Pandemic Response Plan 2024 (showing changes)

SHIRE OF KOJONUP



## Audit & Risk Committee

### Minutes

6 February 2024

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### **Membership**

Four (4) Councillors; and

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Manager Financial & Corporate Services

Manager Governance & Administration

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The rules regarding remuneration for independent committee members are currently under review as part of the Local Government Reforms (2023). These guidelines are subject to any legislation changes.

**MINUTES OF AN AUDIT AND RISK COMMITTEE MEETING**  
**HELD ON 6 FEBRUARY 2024**

**TABLE OF CONTENTS**

<b>1</b>	<b>DECLARATION OF OPENING</b>	<b>6</b>
<b>2</b>	<b>ATTENDANCE, APOLOGIES &amp; LEAVE OF ABSENCE</b>	<b>6</b>
<b>3</b>	<b>SUMMARY OF RESPONSE TO PREVIOUS QUESTIONS TAKEN ON NOTICE</b>	<b>6</b>
<b>4</b>	<b>CONFIRMATION OF MINUTES</b>	<b>6</b>
4.1	<i>AUDIT AND RISK COMMITTEE – 5 SEPTEMBER 2023</i>	<b>6</b>
<b>5</b>	<b>BUSINESS ARISING</b>	<b>7</b>
5.1	<i>BLACK COCKATOO CAFÉ (BCC)</i>	<b>7</b>
5.2	<i>CASHFLOWS</i>	<b>7</b>
<b>6</b>	<b>DECLARATIONS OF INTEREST</b>	<b>7</b>
<b>7</b>	<b>SENIOR MANAGEMENT TEAM DISCUSSION</b>	<b>7</b>
<b>8</b>	<b>COMMITTEE TIMETABLE</b>	<b>8</b>
<b>9</b>	<b>COMMITTEE STATUS REPORT</b>	<b>9</b>
<b>10</b>	<b>SUMMARY OF RISK MANAGEMENT</b>	<b>11</b>
10.1	<i>RISK MANAGEMENT UPDATE</i>	<b>11</b>
10.2	<i>WORK HEALTH AND SAFETY</i>	<b>11</b>
<b>11</b>	<b>OFFICER REPORTS</b>	<b>12</b>
11.1	<i>ANNUAL FINANCIAL REPORT 2022/2023 AND GENERAL MEETING OF ELECTORS</i>	<b>12</b>
11.2	<i>COMPLIANCE AUDIT RETURN 2023</i>	<b>17</b>
11.3	<i>REVIEW OF VOLUNTEER HANDBOOK</i>	<b>20</b>
<b>12</b>	<b>CEO UPDATES</b>	<b>24</b>
12.1	<i>BUDGET &amp; FINANCIAL CONTROLS UPDATE</i>	<b>24</b>
12.2	<i>RISK REVIEW</i>	<b>25</b>
12.3	<i>WORK HEALTH AND SAFETY UPDATE</i>	<b>25</b>
12.4	<i>SPRINGHAVEN UPDATE - CEO</i>	<b>25</b>
<b>13</b>	<b>OTHER ITEMS FOR DISCUSSION OR FURTHER RESEARCH AS RAISED BY MEMBERS</b>	<b>26</b>
<b>14</b>	<b>NEXT MEETING</b>	<b>26</b>
<b>15</b>	<b>CLOSURE</b>	<b>26</b>

## MINUTES

### 1 DECLARATION OF OPENING

The Chairperson declared the meeting open at 9.09am and alerted the meeting of the procedures for emergencies including evacuation, designated exits and muster points.

### 2 ATTENDANCE, APOLOGIES & LEAVE OF ABSENCE

#### MEMBERS

Cr Roger Bilney	Member (Chairperson)
Cr Paul Webb	Member
Cr Mick Mathwin	Member
Cathrine Ivey	Community Member

#### STAFF (OBSERVERS)

Grant Thompson	Chief Executive Officer (CEO)
Jill Johnson	Manager Financial and Corporate Services (MFCS) - 9.57am
Judy Stewart	Manager Governance and Administration

#### APOLOGIES

Cr Kerry Mickle	Member
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### 3 SUMMARY OF RESPONSE TO PREVIOUS QUESTIONS TAKEN ON NOTICE

Nil

### 4 CONFIRMATION OF MINUTES

4.1 AUDIT AND RISK COMMITTEE – 5 SEPTEMBER 2023  
(Attachment 5.1)

#### OFFICER RECOMMENDATION/COMMITTEE DECISION

1/24 Moved Cr Mathwin

Seconded Cr Webb

That the minutes of the Audit & Risk Committee Meeting held on 5 September 2023 be confirmed as a true and accurate record.

CARRIED 4/0

For: Cr Bilney, Cr Webb, Cr Mathwin, C Ivey

**5 BUSINESS ARISING**

**5.1 BLACK COCKATOO CAFÉ (BCC)**

Revenue/Expenses – budget estimate of \$750,000 for both cost centres.

Graphical tracking (**Attachment 5.1.1**) of BCC income and expenses does include administration salary expenses but depreciation has not been posted YTD as of yet; income and expenses (green line) includes all capital expenses.

**5.2 CASHFLOWS**

The Chief Executive Officer advised that the Manager of Financial and Corporate Services is progressing the provision of cashflows for each Department.

**6 DECLARATIONS OF INTEREST**

Nil

**7 SENIOR MANAGEMENT TEAM DISCUSSION**

In accordance with the Financial Management Review adopted in February 2019, one senior manager will attend the Audit & Risk Committee on a rotational basis to discuss the following:

- Update on Manager's areas of responsibility and current projects/issues;
- Questions on Notice from the Audit and Risk Committee;
- Management's own recommendations for improvement in key areas.

## **8 COMMITTEE TIMETABLE**

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- Summary of Risk Management
- Volunteer Management
- Leave Provision Adequacy

### **2nd Quarter (April – June)**

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- Summary of Risk Management
- Business Continuity Plan Review
- Shire President's Vehicle Log Book

### **3<sup>rd</sup> Quarter (July – September)**

- Committee Status Report
- Interim Audit Report
- Summary of Risk Management
- Insurance Overview

### **4<sup>th</sup> Quarter (October – December)**

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2 November 2022	11.2 – Financial Management Review	The recommendations and observations raised within the Report be reported back to the Audit and Risk Committee for monitoring.	FMR adopted by Council, issues currently being addressed by Manager Financial & Corporate Services	Ongoing
28 February 2023	Comment	Council to adopt and publish policies dealing with Councillors Continuing Professional Development and Attendance of Council members and the Chief Executive Officer at events.		<i>Completed – Policies 3.27 and 3.28 – CM141/23</i>
5 September 2023	Information Request	Roger House - Netball Courts costing (1/2 grant funded) figures – CEO/MFCS		
5 September 2023	Information Request	Cr P Webb - List of vehicles containing trackers – CEO	<i>Depot – GPS to boundary, automatically sends notifications to management – shows idling/operating/driving/speed/kms not hours</i>	
5 September 2023	Information Request	Cr Gale - Expenditure - machinery maintenance and repairs – analyse to see if worthwhile upgrading or not – CEO/MFCS		<i>Ongoing</i>

Date	Item Number & Title	Issue	Response	Status
5 September 2023	10.1 - Documentation	Risk Assessment and Acceptance Criteria including Likelihood x Consequence Matrix (Risk Management Framework)	To be forwarded to Committee members	<i>Attachment – 10.1.3 Completed</i>
5 September 2023	13.1 - Information Request	CEO and MFCS to look into feasibility of reduction in insurance premiums if the Shire was to increase insurance excesses	<i>After review LGIS provides very competitive insurance</i>	
5 September 2023	Documentation	New Organisational Workforce Structure – CEO	CEO presented new structural changes. To be forwarded to Committee members after announcement of same.	
<i>6 February 2024</i>	<i>10.1 – Risk Dashboard Report</i>	<i>Boscabel Hall</i>	<i>MRS – check if people camping in grounds, arrange Boscabel Hall playground check.</i>	
<i>6 February 2024</i>	<i>11.3 – Volunteers Manual</i>	<i>Volunteers Insurance</i>	<i>CEO to research</i>	



## **10 SUMMARY OF RISK MANAGEMENT**

### **10.1 RISK MANAGEMENT UPDATE**

Please refer to the following attachments:

- 10.1.1 Risk Dashboard Report – February 2024
- 10.1.2 Risk Actions Report – February 2024

### **10.2 WORK HEALTH AND SAFETY**

The CEO provided the following updates:

- Major Incident on Kojonup-Darkan Road previous weekend – head on collision with vehicle stopped at red light – the Shire’s contractor was involved in the incident and it is likely a WorkSafe investigation will take place.

*The Manager Financial and Corporate Services entered the meeting at 9.57am.*

## 11 OFFICER REPORTS

### 11.1 ANNUAL FINANCIAL REPORT 2022/2023 AND GENERAL MEETING OF ELECTORS

AUTHOR	Grant Thompson – Chief Executive Officer
DATE	Tuesday, 23 January 2024
FILE NO	FM.AUD.2 & FM.FNR.1
ATTACHMENT(S)	11.1.1 - Annual Financial Report - Shire of Kojonup - 30 June 2023 11.1.2 - Final Management Letter - Shire of Kojonup - 30 June 2023 11.1.3 - Transmittal Letter to CEO - Shire of Kojonup - 30 June 2023 11.1.4 - Opinion - Shire of Kojonup - 30 June 2023

'PLACEMAKING' STRATEGIC COMMUNITY PLAN JULY 2023 TO JUNE 2033 To be <i>"The Cultural Experience Centre of the Great Southern"</i> STRATEGIC/CORPORATE IMPLICATIONS		
Key Strategic Pillar/s	Community Goal/s	Corporate Objective/s
Performance	12. A High Performing Council	12.1 SoK finances and funding 12.2 SoK monitoring and reporting

#### DECLARATION OF INTEREST

Nil

#### SUMMARY

The purpose of this report is to consider the 2022/2023 Annual Financial Report, incorporating the Audit Report, and make a recommendation to Council.

#### BACKGROUND

Each local government is to prepare an annual report for each financial year. The report is a record of the Shire of Kojonup's (Shire) activities for the financial year and is an integral part of the accountability principles established for local governments in Western Australia.

#### COMMENT

The Audit Report and Annual Financial Report will be considered by the Council at its 20 February 2024 Ordinary Meeting. The Auditor's Management Letter is provided as additional information to the Committee and Council for transparency and full disclosure. It is suggested that the Annual Report, incorporating the aforementioned documents, be considered by Council at a Special Council Meeting to be called for 3.00pm, Tuesday, 5 March 2024.

The Annual Electors Meeting must be held within 56 days of the Council accepting the Annual Financial Report, with appropriate time being allowed after adoption to give notice of the meeting, say 14 days. This effectively means that the Annual Electors Meeting needs to be held by 30 April 2024. In previous years, the Annual Electors Meeting has been held in the evening following the Council Ordinary Meeting. It is recommended that the Annual Electors Meeting be held after the 16 April 2024 Ordinary Meeting at the Kojonup Sporting Complex.

The Annual Electors Meeting will be publicised in the Great Southern Herald, on the Shire website and Shire Facebook page as soon as possible after the date is set, and in the next available Kojonup News and Shire mediums.

#### Significant Matters Raised in the Audit:

Contained within the 2022/2023 Audit Report were matters identified as significant by the Auditor. The matters raised as significant by the Auditor were as follows:

##### *1. Cost reallocation journal procedures*

###### *Finding*

*During the final audit several general journals posted to roads infrastructure job ledgers (for reallocation and allocation of capital costs) that were not adequately supported by documented evidence outlining the reasons and purpose of these journals.*

###### *Implication*

*Journals posted without appropriate evidence supporting adjustments to the financial report significantly increases the risk of material misstatement whether due to fraud or error, particularly in respect of capital costs recognised during the period. The implications could also extend to the Shire's responsibilities for performing acquittals of grants funding received, these acquittal reports rely on the accurate recognition and treatment of capital costs within the Shire's annual financial report.*

###### *Recommendation*

*The Shire should ensure procedures for reviewing and recognising cost allocation journals are adequately designed and implemented at all times. Reasons for allocations and adjustments should be documented and evidence for every journal posted, including appropriate rationale for capitalising costs associated with roads and other infrastructure projects with direct reference to the actual costs incurred.*

###### *Management comment*

*A process has been put in place to ensure that journals are justified with supporting documents before they are processed, along with two approval signatures. This two-step verification will include the Finance Officer raising the journal and the Manager Financial & Corporate Services approving as a second check. Re-journaling should decline materially over the next twelve months as we procure better oversight of the financial controls across the organisation.*

##### *2. General Journal Review Processes*

###### *Finding*

*While testing general journals four out of the ten tested general journals were not recorded as being reviewed by an authorised reviewer.*

*We also noted that journals being prepared by your external consultant are not being reviewed and approved by an authorised reviewer at the Shire.*

*In 2022 5 out of the 30 general journals that tested were not marked as being reviewed by an independent authorised officer. This has been upgraded from moderate to significant.*

*Implication*

*In the absence of adequate review of all general journals posted, there is an increased risk of unauthorised journals being posted whether due to fraud or error which may result in errors posted to the annual financial report.*

*Recommendation*

*We recommend that all general journals are reviewed by an appropriate person who is independent of the person performing the tasks. All general journals and supporting documentation should be reviewed by an appropriate officer and signed as evidence of review.*

*Management comment*

*Journals (along with backing paperwork) received from the External Consultant will be reviewed and signed by the Manager Financial & Corporate Services.*

*The Shire acknowledges that a number of previous journals did not follow due process.*

*With a restructure and appointment of new financial people in March 2023, the Shire believes these audit findings are the lag time between the business process changes.*

*3. Employee related provisions*

*Finding*

*During the auditors review of employee long-service leave provisions at 30 June 2023 it was noted provisions balances still exist for 51 employees that are no longer employed by the Shire. The estimated overstatement of the Shire's long-service leave provision is \$92,840 at 30 June 2023.*

*This finding was present in previous periods, however in 2023 the balance has continued to grow with no improvement in the Shire's processes for recording and reviewing provisions balances.*

*Implication*

*Where inaccurate employee data is used to estimate the Shire's employee related provisions, there is an increased risk of material errors occurring in the annual financial report.*

*Recommendation*

*The Shire should review the employee data used to develop and recognise employee related provisions and ensure this is current and up to date each year. Adjustments should be recognised to reduce the liability balances for any entitlements paid or where the entitlement is no longer required to be recognised.*

*Management comment*

*The Shire is committed to fixing this problem of our payroll records and processes removing ex-employees from the system as the benefits are paid out.*

*The LSL entitlements are currently being reviewed by the Finance Payroll Officer. These will be amended as required and any payments outstanding forwarded to the Australian Taxation Office for distribution to terminated employees.*

*An LSL reconciliation process will become part of the EOFY process (along with other leave entitlements) to ensure all leave balances are correctly calculated and recorded.*

All other findings can be read in the management letter attached.

**CONSULTATION**

Auditors – Lincolns Accountants Albany  
The Office of the Auditor General  
Manager Financial and Corporate Services

**STATUTORY REQUIREMENTS**

Section 5.26 to 5.33; 5.53 & 5.54 of the *Local Government Act 1995*  
Section 7.12A (Duties of local government with respect to audits) of the *Local Government Act 1995*  
Regulation 50(1) (c) of the Local Government (Financial Management) Regulations 1996

**POLICY IMPLICATIONS**

There are no policy implications for this report.

**FINANCIAL IMPLICATIONS**

This item reports on the financial position of the Shire as at 30 June 2023. The recommendation does not in itself have a financial implication.

**RISK MANAGEMENT IMPLICATIONS**

There are no risk management implications for this report.

**ASSET MANAGEMENT IMPLICATIONS**

There are no asset management implications for this report.

**SOUTHERN LINK VROC (VOLUNTARY REGIONAL ORGANISATION OF COUNCILS) IMPLICATIONS**

Nil

**VOTING REQUIREMENTS**

Absolute Majority

OFFICER RECOMMENDATION/COMMITTEE RECOMMENDATION

2/24 Moved C Ivey

Seconded Cr Webb

That it be recommended to the Council that:

1. The 2022/2023 Audited Annual Financial Report be adopted;
2. The Chief Executive Officer be requested to forward a copy of this Audit Committee recommendation, and the Council agenda item, to the Minister for Local Government and place them on the Shire of Kojonup website in accordance with Section 7.12A (Duties of local government with respect to audits) of the *Local Government Act 1995*;
3. The matters raised in the Auditor's Management Letter be noted, a report produced internally on how the significant items will be addressed, and those actions be included in the Committee Status Report of future Audit and Risk Committee agendas; and
4. The Council direct the Chief Executive Officer to complete the Annual Report compilation and schedule:
  - a Special Council Meeting to be held at 3.00pm, Tuesday, 5 March 2024 to adopt the Annual Report; and
  - an Annual Electors Meeting to be held at 6.00pm, Tuesday, 16 April 2024 at the Kojonup Sporting Complex.

CARRIED 4/0

For: Cr Bilney, Cr Webb, Cr Mathwin, C Ivey

## 11.2 COMPLIANCE AUDIT RETURN 2023

AUTHOR	Judy Stewart – Manager Governance and Administration
DATE	Friday, 2 February 2024
FILE NO	CM.REP.1
ATTACHMENT(S)	11.2.1 - Compliance Audit Return 2023

'PLACEMAKING' STRATEGIC COMMUNITY PLAN JULY 2023 TO JUNE 2033 To be <i>"The Cultural Experience Centre of the Great Southern"</i> STRATEGIC/CORPORATE IMPLICATIONS		
Key Strategic Pillar/s	Community Goal/s	Corporate Objective/s
Performance	12. A High Performing Council	12.2 SoK monitoring and reporting

### DECLARATION OF INTEREST

Nil

### SUMMARY

The purpose of this report is for the Audit and Risk Committee's consideration and recommendation to Council for adoption of the Compliance Audit Return for 2023.

### BACKGROUND

Completion of the Compliance Audit Return (CAR) is mandatory for each local government. Regulations 14 and 15 of the *Local Government (Audit) Regulations 1996* require a local government to carry out a compliance audit for each calendar year. A local government's Audit and Risk Committee must review the CAR and report same to Council to adopt after which a certified copy, together with a copy of the section of Council minutes adopting the CAR plus any other relevant information, must be submitted to the Department of Local Government, Sport and Cultural Industries (Department) by 31 March each year.

Items of note in the 2022 CAR included the following:

- all relevant persons to have lodged an annual return by 31 August annually;
- delayed receipt of the Shire's Audit Report;
- the need to complete a report on the training completed by Council members in the 2021/2022 year, by 31 July 2022; and
- the need for Council to adopt and publish a policy dealing with attendance of Council members and the Chief Executive Officer (CEO) at events.

All of the above requirements have been dealt with accordingly. A policy dealing with Councillor and CEO attendance at events was adopted by Council at its 12 December 2023 Ordinary Meeting (CM 141/23).

### COMMENT

The 2023 CAR has been completed following a review of processes and documentation for each activity/area in which compliance is being assessed against the *Local Government Act 1995* and its associated regulations.

Items of note in the 2023 CAR include the following:

Finance – Question 5 – Due to the date of receipt of the Auditor’s Report (19 December 2023), Council can still comply with the requirement to provide a copy of the Auditor’s Report to the Minister within the required three month timeframe; however, cannot state that it has done so already.

Integrated Planning and Reporting – Question 2 – Council has not yet adopted its Corporate Business Plan; it is anticipated that this will occur at its 20 February 2024 Ordinary Meeting.

This item is for the Audit and Risk Committee’s consideration and recommendation to the Council for adoption and subsequent submission to the Department by 31 March 2024.

## CONSULTATION

Chief Executive Officer

Project Manager/Community Services

## STATUTORY REQUIREMENTS

### 14. *Compliance audits by local governments*

*(1)A local government is to carry out a compliance audit for the period 1 January to 31 December in each year.*

*(2)After carrying out a compliance audit the local government is to prepare a compliance audit return in a form approved by the Minister.*

*(3A)The local government’s audit committee is to review the compliance audit return and is to report to the council the results of that review.*

*(3)After the audit committee has reported to the council under subregulation (3A), the compliance audit return is to be —*

*(a)presented to the council at a meeting of the council; and*

*(b)adopted by the council; and*

*(c)recorded in the minutes of the meeting at which it is adopted.*

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

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

*(1)After the compliance audit return has been presented to the council in accordance with regulation 14(3) a certified copy of the return together with —*

*(a)a copy of the relevant section of the minutes referred to in regulation 14(3)(c); and*

*(b)any additional information explaining or qualifying the compliance audit,*

*is to be submitted to the Departmental CEO by 31 March next following the period to which the return relates.*

*(2)In this regulation —*

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



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

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

#### POLICY IMPLICATIONS

Nil

#### FINANCIAL IMPLICATIONS

Nil

#### RISK MANAGEMENT IMPLICATIONS

RISK MANAGEMENT FRAMEWORK			
Risk Profile	Risk Description/Cause	Key Control	Current Action
3. Failure to Fulfil Compliance Requirements (Statutory/Regulatory)	Inadequate compliance framework	Compliance Audit Report	Nil (key control being undertaken)
Risk rating – Adequate			
IMPLICATIONS			
Maximising compliance with legislation mitigates risk of damage to image and reputation as well as penalties associated with non-compliance; compliance demonstrates that best practice methodology is in place.			

#### ASSET MANAGEMENT IMPLICATIONS

Nil

#### SOUTHERN LINK VROC (VOLUNTARY REGIONAL ORGANISATION OF COUNCILS) IMPLICATIONS

Nil

#### VOTING REQUIREMENTS

Simple Majority

#### OFFICER RECOMMENDATION/COMMITTEE RECOMMENDATION

3/24 Moved Cr Mathwin

Seconded Cr Webb

That it be recommended to the Council that the Compliance Audit Return for 2023, as attached, be adopted.

CARRIED 4/0

For: Cr Bilney, Cr Webb, Cr Mathwin, C Ivey

### 11.3 REVIEW OF VOLUNTEER HANDBOOK

<b>AUTHOR</b>	Judy Stewart – Manager Governance and Administration
<b>DATE</b>	Friday, 2 February 2024
<b>FILE NO</b>	CM.POL.1
<b>ATTACHMENT(S)</b>	11.3.1 - Volunteer Handbook – existing (2022) copy showing proposed change

<b>‘PLACEMAKING’ STRATEGIC COMMUNITY PLAN JULY 2023 TO JUNE 2033</b> <b>To be “The Cultural Experience Centre of the Great Southern”</b> <b>STRATEGIC/CORPORATE IMPLICATIONS</b>		
<b>Key Strategic Pillar/s</b>	<b>Community Goal/s</b>	<b>Corporate Objective/s</b>
Performance	12. A High Performing Council	12.2 SoK monitoring and reporting

#### DECLARATION OF INTEREST

Nil

#### SUMMARY

The purpose of this report is to review the Shire of Kojonup’s (Shire) Volunteer Handbook.

#### BACKGROUND

The Shire’s Volunteer Management Handbook (Handbook) was originally produced in 2016 in line with Council’s adoption of its Volunteer Management Policy (Policy 2.3.8). Significant changes were made in November 2018 to form a less cumbersome and more user friendly Handbook and further reviews have been undertaken on an annual basis.

With the exception of volunteer firefighters who are recognised and supported via the Bush Fire Advisory Committee and relevant legislation, the Handbook represents a detailed point of reference for other Shire volunteers, provides guidance to managers overseeing volunteer programmes and recognises volunteers as an integral part of our organisation. The provision of a Handbook for volunteers is also in keeping with Work Health and Safety best practice principles, working to protect the employer and the volunteer.

The Shire has many different activities that volunteers engage in (mainly at the Kodja Place precinct, Springhaven Frail Aged Lodge, the Kojonup Library and as Friends of Myrtle Benn) working alongside staff to deliver and enhance services and initiatives offered by the Shire. Without the support and contribution provided by volunteers, some of these services and initiatives would be difficult to sustain into the future.

#### COMMENT

There are nil suggested updates as of this review – the only change has been to the document’s date of review (attachment 11.3.1).

#### CONSULTATION

Chief Executive Officer  
Managers  
Senior Horticulturist  
Senior Library Officer

## STATUTORY REQUIREMENTS

Section 5.40 (e) of the *Local Government Act 1995*

### *5.40. Principles affecting employment by local governments*

*The following principles apply to a local government in respect of its employees –*

- (e) employees are to be provided with safe and healthy working conditions in accordance with the Work Health and Safety Act 2020;*

Division 4, Subdivision 1 - 4. - *Work Health and Safety Act 2020 (replacing OSH Act 1984)* - Definitions –

***volunteer*** means a person who is acting on a voluntary basis (irrespective of whether the person receives out-of-pocket expenses);

Section 7.      *Meaning of worker*

- (1) A person is a worker if the person carries out work in any capacity for a person conducting a business or undertaking, including work as –*
  - (h) a volunteer;*

## POLICY IMPLICATIONS

Policy 2.3.8 – Volunteer Management

## FINANCIAL IMPLICATIONS

In addition to the social and community benefits associated with volunteering, the value adding that occurs without incurring wage expenses contributes to the ongoing provision of services and initiatives that otherwise may not happen.

## RISK MANAGEMENT IMPLICATIONS

RISK MANAGEMENT FRAMEWORK			
Risk Profile	Risk Description/Cause	Key Control	Current Action
5 - Employment Practices	Failure to effectively manage and lead human resources (full-time, part-time, casuals, temporary and volunteers).	Induction process	Nil
14 - Safety and Security	Inadequate induction practices.  Inadequate policy, frameworks, systems and structure to prevent the injury of visitors, staff, volunteers, contractors and/or tenants.	Contractor/Staff/Volunteer site inductions	Nil
Risk rating – Adequate/Adequate			
IMPLICATIONS			
A Volunteer Handbook ensures that the Shire's volunteers, and their managers, are provided with the necessary information to ensure duties are undertaken in a safe manner and volunteers are informed of their rights and obligations.			

## ASSET MANAGEMENT IMPLICATIONS

Nil

## SOUTHERN LINK VROC (VOLUNTARY REGIONAL ORGANISATION OF COUNCILS) IMPLICATIONS

Nil

## VOTING REQUIREMENTS

Simple Majority

## OFFICER RECOMMENDATION

That the revised Volunteer Handbook 2024, as attached, be adopted.

**OFFICER RECOMMENDATION/COMMITTEE RECOMMENDATION**

4/24 Moved Cr Mathwin

Seconded C Ivey

That it be recommended to Council that the revised Volunteer Handbook 2024, as attached, be adopted.

**CARRIED 4/0**

For: Cr Bilney, Cr Webb, Cr Mathwin, C Ivey

*Reason for change to Officer Recommendation: addition of wording 'That it be recommended to Council' at the beginning.*

UNCONFIRMED

## 12 CEO UPDATES

### 12.1 BUDGET & FINANCIAL CONTROLS UPDATE

#### 2022/23 Completed Audit & Auditor Opinion

Audit completed – the CEO presented the Audit findings to the committee with 3 significant findings to be discussed.

Index of findings	Potential impact on audit opinion	Rating			Prior year finding
		Significant	Moderate	Minor	
1. Cost reallocation journal procedures	No	✓			
2. General journal review processes	No	✓			✓
3. Employee related provisions	No	✓			
4. Monthly reconciliation - Debtors	No		✓		
5. Monthly reconciliation - Creditors	No		✓		
6. Builders' retention funds	No		✓		
7. Job card procedures	No		✓		
8. Purchasing policy deviation	No		✓		
9. Superannuation guarantee calculation	No		✓		

A report by the CEO on how the Shire will rectify the significant items is required to be presented to the Minister within 3 months of the Council adopting the financial reports. The CEO will complete this report for the Audit and Risk Committee and Council.

As presented, the Shire has articulated its response to the Auditors on how it will action each item. Road Projects and Grant Funding management are under very close scrutiny.

The Office of the Auditor General and auditors have given us 12 months to rectify the significant items:

- The MFCS is taking on responsibility for oversight of roads financing and road grant management;

- two factor authorisation (CEO and MFCS) to rein in control of expenditure on projects;
- purchase order management;
- a review of Purchase to Pay processes with new two-step authorisation being implemented;
- Journals management - two step authorisation where journals are undertaken;
- Timesheet management;
- Allocation of costs;
- Chart of Accounts review;
- Complete the Risk Management Review this calendar year;
- Project Management framework – Commenced implementation;
- Scheduling and rostering of Team Members – systemised;
- Full variance reporting and justification of any changes in accounts;
- One Cost element for each project and chart of account;
- Reconciliations undertaken to be checked through a two person verification process every month and on time; and
- Separation of Authority - finance officers and the processes are being separated (physically and controls).

The Shire is rolling out a Cultural Change program: One Community One Shire One team.

#### **Mid-year budget review**

The CEO presented the risks of limitations in cash-flow over the next 5 months of the budget year. Cash-flow monitoring is ongoing with major capital projects utilising material municipal cash now to pay creditors prior to grant revenue being received later in the second quarter of the year.

The CEO and MFCS monitoring and managing as a part of business as usual.

Mid review budget requires surgery to reduce costs on areas of overruns ensuring the Shire remains cash-flow positive and budget is generally healthy. Budget will come back into balance once mid-year review completed. The CEO will be presenting the budget review to Councillors in the subsequent briefing session.

### **12.2 RISK REVIEW**

As discussed in the status report, a major risk review is scheduled for 2024.

### **12.3 WORK HEALTH AND SAFETY UPDATE**

Previously discussed incident reported to Audit and Risk Committee.

Skytrust safety management system being rolled out and training underway for team members.

### **12.4 SPRINGHAVEN UPDATE - CEO**

CEO presented an update on Springhaven governance items:

- Annual prudential reporting finalised
- Quarterly report finalised
- Key Governance body reporting finalised

Updated Staff movements:

- Ciara O'Regan, Manager Aged Care Services, resigned
- Acting Director of Nursing resigned and is exiting in March 2024
- Currently recruiting RN and advertising Clinical Nurse Manager for facility

Hall and Prior are supporting the Shire with the gaps in capability to ensure the facility is compliant for regulated care minutes to the residents.

Aged Care Spot Commission Audit (Audit) occurred on the 17/01/2024; due to sensitive personal resident medical information, the report is unavailable for distribution.

Items covered in this Audit included:

- 24/7 nursing exemption care plan and how Springhaven provides clinical care to residents when RN is not on site 24/7;
- Resident deterioration with RN absent process and procedures;
- Audited incidents, staff education, risk management, rosters and alignment of RN hours monthly report, policy and procedures;
- No instances of non-compliance were identified in the Audit.
- Report received, desk top audit to follow, clinical team working to provide further documentation.

CEO updated Audit and Risk Committee on the Aging in Place strategy for Kojonup and the future of Aged Care in the region.

**13 OTHER ITEMS FOR DISCUSSION OR FURTHER RESEARCH AS RAISED BY MEMBERS**

Risk of accessing qualified team members and capability was discussed. The CEO advised that the CEO is reviewing Senior Manager contracts due for renewal later this budget year.

**14 NEXT MEETING**

The next meeting of the Audit and Risk Committee is scheduled to be held Tuesday, 7 May 2024 at 9:00am.

**15 CLOSURE**

There being no further business to discuss, the Chairperson thanked members for their attendance and declared the meeting closed at 10.43am.



ATTACHMENTS (SEPARATE)

5.1 - Audit & Risk Committee Minutes 5 September 2023

5.1.1 – Graphical tracking – Black Cockatoo Café - Income and Expenses – December 2023

10.1.1 - Risk Dashboard Report – January 2024

10.1.2 - Risk Actions Report – January 2024

11.1.1 - Annual Financial Report - Shire of Kojonup - 30 June 2023

11.1.2 - Final Management Letter - Shire of Kojonup - 30 June 2023

11.1.3 - Transmittal Letter to CEO - Shire of Kojonup - 30 June 2023

11.1.4 - Opinion - Shire of Kojonup - 30 June 2023

11.2.1 – Compliance Audit Return 2023

11.3.1 – Volunteer Handbook – existing copy (2022) showing proposed change

UNCONFIRMED

## Shire of Kojonup Risk Dashboard Report May 2024

<u>Asset Sustainability Practices</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Restrict access to non-compliant/damaged/dangerous buildings until the future of these facilities is determined.	May-22	MRS	
Risk Assessment on Showgrounds	May-22	CEO	

<u>Business &amp; Community Disruption</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Review and test LEMA Plan	Apr-22	MRS	
Commence annual building inspections	Mar-22	MRS	

<u>Failure to Fulfil Compliance Requirements (Statutory, Regulatory)</u>		Risk	Control
		Low	Adequate
Current Actions	Due Date	Responsibility	

<u>Document Management Processes</u>		Risk	Control
		Low	Adequate
Current Actions	Due Date	Responsibility	

<u>Employment Practices</u>		Risk	Control
		High	Adequate
Current Actions	Due Date	Responsibility	
Formalise exit interview procedure - template for review	Apr-22	CEO	
Finalise EBA - M Fitzgerald, on behalf of Council, is following up with the ASU week commencing 3 March 2020	Dec-23	CEO	

<u>Engagement practices</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Review and assess Community Engagement Strategy and Plan	31/04/2023	CEO	

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

<u>Errors, Omissions and Delays</u>		Risk	Control
		Low	Adequate
Current Actions	Due Date	Responsibility	
Implement a formal peer review process	Dec-23	CEO	

<u>External Theft and Fraud (inc. Cyber Crime)</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Fobs security improvements for administration building - fob quotes requested	Dec-23	CEO	
Update fixed assets record (RAMM) to include Parks, Reserves, street furniture and signage and drainage infrastructure	Apr-22	MWS	

<u>Management of Facilities, Venues and Events</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Draft improved Events planning process guidelines (including Planning Approvals, risk assessments, event management plans, food safety at stalls etc) - progressing	Jun-22	MRS	
Develop post event procedures and event evaluation debrief - progressing	Mar-22	MRS	
Develop Lease agreements register for all Shire facilities - progressing community hall agreements, sporting group agreements	Jul-23	CEO	
Community education re public events on private property - progressing	Jul-23	MRS	
Annual tenancy inspections for staff and public housing - scheduled & notice in writing	Mar-22	MRS	

<u>IT, Communication Systems and Infrastructure</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Add additional generator input points (Admin building)	Jul-23	MRS	
Negotiate Service level agreement with Vendors - IT	Jun-22	CEO	

<u>Misconduct</u>		Risk	Control
		Moderate	Adequate
Current Actions	Due Date	Responsibility	
Implement user-friendly stock control and reconciliation (fuel) procedure - FO to work with Depot	Jul-22	CEO	

<u>Project/Change Management</u>		Risk	Control
		High	Adequate
Current Actions	Due Date	Responsibility	
Implement formal project management guidelines	May-22	CEO	

<u>Safety and Security Practices</u>		Risk	Control
		High	Adequate
Current Actions	Due Date	Responsibility	
Conduct annual evacuation drill at all facilities	Apr-23	CEO	

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

Actions	Risk Profile	Due Date	Responsibility	Action Status
Commence annual building inspections	2	Mar-22	MRS	14/7/21 Spreadsheet being developed. BMC to start doing tenanted building inspections end of March - 2 weeks' notice (3 per week) BMC started inspections (2022) but not recorded on spreadsheet. <b>Due to BMC resigning, the Shire is behind on annual building inspections. Restructuring the Property Management area will support getting this back on schedule.</b>
Formalise exit interview procedure - template for review	5	Apr-22	CEO	
Implement user-friendly stock control and reconciliation (fuel) procedure	12	Jul-22	CEO/MWS/MFCS	Work group addressing the issue led by FO. Finance Officer to work with Depot. Monthly reconciliations are now greatly improved, albeit still a manual process. Once procedure has been decided.  New MFCS to review inventory and stock management process in 2024. <b>Not Started</b>

Actions	Risk Profile	Due Date	Responsibility	Action Status
Formation of Position Descriptions for Volunteers - progressing.	4	Apr-22	CEO	Managers to form position descriptions. SH has volunteers' handbook which acts as a PD. Library PD completed. In draft form. 14/7/21 - Volunteer PD's completed for Parks/Reserves, KP and Library and are now in use. Volunteer Manual also updated to reflect minor amendments. 80% completed Volunteer handbook being updated for KP. Handbook completed with November 2022 updates. <b>Completed.</b>
Finalise EBA	5	Dec-23	CEO	CEO will take the lead and is currently reviewing the process to undertake EBA negotiations 2nd Quarter 2022. After strategic planning process. 1 quarter behind on Strategic Planning and there interdependency on this item means the EBA discussion pushed out until 1 Quarter 2023. New EBA must align to the WA Industrial relations framework as local government is now covered by the WAIRC not Fairworks Australia. Underway - delays with implementation of WAIRC, EBA negotiations forecast late 202. CEO discussed timeline with ASU (Union), back end of year. ASU distracted by other areas of local government, CEO expecting to be approached with timeframe soon. Expected to commence first half of 2024. CEO to update on industrial issues occurring in the sector. <b>In conversation with ASU back end of year negotiation.</b>
Restrict access to non-compliant/damaged/dangerous buildings until the future of these buildings is determined.	1	May-22	MRS	Inspection of public buildings required to establish any non-compliance, damage or danger. MRS/BS to coordinate annual inspection of buildings. List to be compiled of relevant buildings; produce checklist and assess as part of budgetary process. Annual inspections now scheduled pre-budget (March) each year - No buildings



Risk assessment of Showgrounds	1	Dec-23	CEO	LGIS assessment completed. Budget for consultant - existing or move - community/stakeholder views. Need to review Showground report. <b>To be sent to Committee</b>
MOU for Community Halls - together with previous	1	Jul-23	CEO	Community Halls management - draft MOU with CEO/MCCS Governance issue. Ongoing.
Review and test LEMA Plan	2	Apr-22	MRS	Plan to be tested asap Done, approved and endorsed.
Develop post event procedures and event evaluation debrief - together with previous end to end process for event management	10	Mar-22	MRS	Progressing - In process

Develop Lease agreements register for all Shire facilities - progressing community hall agreements, sporting group agreements. Governance issue.	10	Jul-23	CEO	Community Halls management - draft MOU with CEO/MCCS. Kojonup Historical Society (Elverd Cottage, Barracks and Post Office) lease agreement - draft forwarded to CEO & MCCS 27/05/21 for comment. Kojonup Bowling Club - draft in progress. So many buildings still without leases. Not completed, a priority for this financial year (2022/23) to finalise relationships with Community groups and assets. List being compiled CEO auditing currently Documents to be completed July 2023. Ongoing. Governance identifying areas of review.
Negotiate Service level agreement with Vendors.	11	Jun-22	CEO	Ramped Technology. New licencing agreement due in April 2023, CEO investigating preferred vendors to replace hardware, architecture and software requirements for the Shire. Request for Proposal being developed, to be advertised shortly. RFP documentation drafted and finalised, will be advertised first two weeks of May. CEO has discussed risks with Ramped, Request for Proposal drafted for managed services and cyber security and expected to be advertised in September. ICT Managed Service tender 02 2023 under analysis and review. <b>Due end May</b>
Draft Improved Events planning process guidelines (including Planning Approvals, risk assessments, event management plans, food safety at stalls etc)	10	Jun-22	MRS	Event plan application has been established. Itinerant traders - Done new events application with all
Community education re public events on private property - together	10	Mar-22	MRS	Progressing - In process

Annual tenancy inspections for staff and public housing - scheduled & notice in writing - same date as for no. 1	10	Mar-22	MRS	Starting early 2022 - Completed inspections done but not captured on spreadsheet Annual inspections occurring, Delayed due BMC resigning and no replacement. <b>Property Services Manager Advertised this past month.</b>
Conduct annual evacuation drill at all facilities	14	Apr-23	CEO	Progressing, training of fire wardens to occur. Drill to be scheduled 1st Quarter 2022 Ongoing - to be placed on Governance Calendar Ongoing. <b>Needs scheduling.</b>
Fobs security improvements for administration building	9	Dec-23	CEO	Fob quotes requested. Whole of Security review to commence 1st half of 2022. Monitor through security review. Security review deferred to late 2023 in line with holistic technology review. CCTV Grants being applied for now, initial high level concept only. Tender for CCTV to be advertised 1st quarter 2024.

Implement formal project management guidelines	13	May-22	CEO	Implementation 2nd Quarter 2022 - framework back to SMT. Related to new system changes regarding ICT, Project Management Framework (PMF) being rolled out 2023. Biannual inspections take place. Project Management body of knowledge being rolled out in new Corporate Business Plan and aligned to structural changes July 1st 2023. Project Manager contracted, new structure rolling out as of 19 May 2023. CEO can provide verbal presentation at meeting. Currently rolling out with the appointment of Project Manager/Community Services (PMCS), forms being developed and team being educated on PM Framework within the Shire. <b>Implementation and roll out underway.</b>
Implement a formal peer review process	8	Dec-23	CEO	Link to PM framework - SMT to discuss. CEO to investigate what this is, not started Ongoing This is a benchmarking exercise Shire Vs Shire. CEO to progress early 2024 after 6 months of SCP. Benchmarking exercise to commence 2024. <b>In Line with LTTP second half of calendar year.</b>
Review and assess Community Engagement Strategy and Plan	6	Apr-23	CEO	Organisation wide, Community engagement is tied to the new strategic plan rollout and actions from the operating plan. SCP to be rolled out in April. Stakeholder Engagement Plan being formulated (CEO) in readiness for July roll out of new Community Business Plan. Completed and rolled out with new budget 1st September. Stakeholder Plan under development and being aligned to the Corporate Business Plan (CBP) rollout in 1st Quarter 2024. <b>Delayed but in progress. 3rd Quarter 2024.</b>

<p>Update fixed assets record (RAMM) to include Parks, Reserves, street furniture and signage and drainage infrastructure</p>	<p>9</p>	<p>Apr-22</p>	<p>CEO/MWS</p>	<p>Ongoing including buildings - Pocket RAMM? Training - BCM Ref. ICT Plan as per previous discussion. Technical Officer to take on RAMM training and ongoing updates. Status. New TO and WAO to receive training via WALGA/Roadwise TBC to enable road data to be updated. Enterprise Resource Planning (ERP) Tender including Asset Management under review and analysis. Expected rollout second half of 2024.</p>	<p>Draft Bush Fire Risk Management Plan</p>	<p>2</p>	<p>Dec-23</p>	<p>MRS</p>	<p>Bushfire Planning and Risk Coordinator BPRC employed to commence undertaking assessments and mitigation planning. Done by BFRP Coordinator and sent to DFES. Kojonup Plan drafted and under review by DFES. Awaiting DFES feedback. Kojonup Plan completed awaiting final wrap up from DFES. program finishes in March. <b>Completed.</b></p>
<p>Add additional generator input points (Admin building)</p>	<p>11</p>	<p>Jul-23</p>	<p>MRS</p>	<p>To be arranged. Generator on a trailer? Link to LEMA Looking for funding Still in progress - no money in budget. CESM Reviewing, Grant dependent</p>					



**SHIRE OF KOJONUP**  
**Business Continuity & Disaster**  
**Recovery Plan**



## Contents

<b>1.</b>	<b>KEY CONTACT SHEET .....</b>	<b>4</b>
<b>2.</b>	<b>INTRODUCTION AND OBJECTIVES .....</b>	<b>5</b>
<b>3.</b>	<b>INCIDENT RESPONSE PLANS .....</b>	<b>6</b>
3.1.	LOSS OF ADMINISTRATION BUILDING .....	7
	TASK 1 - Immediate Response .....	7
	TASK 2 – Commence operations from Disaster Recovery Site .....	8
	TASK 3 – Assess damage and prepare medium term Recovery Plans .....	9
	TASK 4 – Long term Recovery Plan and relocation to permanent Shire Office building	10
3.2.	COMPLETE IT HARDWARE FAILURE .....	11
3.3.	LOSS OF DEPOT BUILDINGS .....	12
	TASK 1 - Immediate Response .....	12
	TASK 2 – Commence operations from Disaster Recovery Site .....	13
	TASK 3 – Assess damage and prepare medium term recovery plans .....	14
	TASK 4 – Long term Recovery Plan and relocation to permanent Shire Depot building .....	15
3.4.	LOSS OF SPRINGHAVEN LODGE .....	16
	TASK 1 - Immediate Response .....	16
	TASK 2 – Commence operations from Disaster Recovery Site and Relocate residents	17
	TASK 3 – Assess damage and prepare medium term Recovery Plans .....	18
	TASK 4 – Long term Recovery Plan and relocation to permanent Premises .....	19
3.5.	LOSS OF THE KODJA PLACE .....	20
	TASK 1 - Immediate Response .....	20
	TASK 2 – Commence operations from Disaster Recovery Site .....	21
	TASK 3 – Assess damage and prepare medium term Recovery Plans .....	<u>22</u>
	TASK 4 – Long term Recovery Plan and relocation to permanent office building	<u>22</u>
<b>4.</b>	<b>EVENT LOG .....</b>	<b><u>26</u></b>
<b>5.</b>	<b>REGISTER OF INITIALS .....</b>	<b><u>27</u></b>
<b>6.</b>	<b>INCIDENT RECOVERY CHECKLIST .....</b>	<b><u>28</u></b>
<b>7.</b>	<b>EVACUATION PROCEDURES .....</b>	<b><u>29</u></b>



8.	EMERGENCY KIT .....	<u>2928</u>
9.	PANDEMIC RESPONSE PLAN .....	<u>2928</u>
10.	REVIEW AND MAINTAIN .....	<u>3029</u>
	LGIS Insurance Policies .....	<u>3130</u>
11.	DATA SECURITY AND BACKUP STRATEGY .....	<u>3433</u>
12.	BUSINESS IMPACT ANALYSIS .....	<u>3433</u>
13.	ACTION PLAN FOR IMPLEMENTATION .....	<u>3736</u>
14.	GLOSSARY .....	<u>3837</u>
15.	APPENDIX .....	<u>3837</u>

# 1. Key Contact Sheet

Person	Position	Mobile Number	Responsibilities Incident Response (IR) Team Leader
Grant Thompson	Chief Executive Officer	0419 903 363	IR Team Leader
Craig McVee	Manager Works & Services	0427 427 854	IR Team Member
<a href="#">Robert Jehu</a> <del>TBC</del>	Fire Warden – Shire Office	N/A	IR Team Member
	Fire Warden – Depot Office		IR Team Member
	Fire Warden – Springhaven Lodge	0417 994 608	IR Team Member
	Fire Warden – The Kodja Place	0417 987 237	IR Team Member
Tonya Pearce	IT Officer		IR Team Member
<a href="#">Cr Roger Bilney</a> <del>Cr Ned Radford</del>	Shire President	<del>0400230309</del> <a href="#">0428 341 012</a>	Shire President

## Contact List – External

Key contacts	Contact number/s
Police and Emergency Services	000
Kojonup Police Station	9831 2555
Ambulance	000
Kojonup Hospital	9831 2222
Security	ABA Security Albany – 9841 7828/BJ Systems – 9309 9595 (Complex)
Insurance company	LGIS – David Wood – 9483 8888
Key Suppliers	Albany Lock Service – Craig - 9842 9779
Electrician	BK Thompson – Ryan 98 31 1106
Plumber	Egabeva Plumbing – Derek – 9831 1213
Water and Sewerage	131375
Electricity	Western Power - 131351
Telephone	Telstra – Johnathan Thornton – 9726 7324
IT Support	Ramped Technology - Garry Hammersley - 9892 2922
Primary Business System Software – IT Vision	9315 7000
Internet Service Provider – Optus	13 56 67
WA Local Government Association	9213 2000
ABC Radio Great Southern	9842 4011
Department of Transport Licensing (Albany)	13 11 56
State Records Office	9427 3600
Bank/Building Society	NAB – Matteo Libera– 9831 2700
Accountant (Auditor)	Lincoln's – Russell Harrison – 9841 1200
Lawyer	McLeod's – 9383 3133

## 2. Introduction and Objectives

The purpose of developing a Business Continuity and Disaster Recovery Plan (Plan) is to ensure the capability of the Shire of Kojonup to continue to deliver its services at an acceptable level during or following a disruptive incident or disaster.

A disaster is defined as a serious disruption of the functioning of the Shire of Kojonup causing widespread human, economic or environmental loss or disturbance. Such disasters include incidents like fire, flood, earthquake, epidemic or pandemic.

A disaster recovery plan uses measures such as alternative premises or alternative service delivery and other facilities to ensure that a business can continue operations and if not, restore operations as quickly as possible after a calamity.

The objectives of this Plan enable the Shire to:

- Ensure we are prepared prior to an event
- Define prioritise and re-establish critical business functions as quickly and efficiently as possible;
- Follow a systematic plan for the management of any incident or disaster;
- Detail the immediate response to minimise damage or loss during a critical incident;
- Minimise the effect of an incident on the community, staff and Council;  
and
- Review and update this plan on a regular basis.

The Shire recognises that some events may exceed the capacity of routine management methods and structure. The Plan aims to provide a mechanism for the development of contingent capacity and logical plans that will enable management to focus on maintaining and resuming the Shire's most critical functions; whilst working in a practical way toward eventual restoration of operations and ensuring unaffected operations are able to continue.

This Plan reinforces and is reinforced by the Shire's Risk Management Framework and Risk Management Policy.

This Plan will be located on the Shire website – [www.kojonup.wa.gov.au](http://www.kojonup.wa.gov.au) and Docs-on-Tap to ensure it is always available. Copies will also be placed in the Chief Executive Officer's vehicle, all Managers' vehicles and the fireproof cabinet within the Shire's Administration building.

### 3. Incident Response Plans

The following incident response plans present the Incident Response Team hierarchy that shall be employed in the event of an emergency. If under extreme circumstances the Chief Executive Officer or any member of the Senior Management Team is unavailable, then the team will consist of all the remaining available senior management.

The plans are not exhaustive, as any major incident will require more detailed and potential long-term considerations; however, the plans below provide a structured response to major incidents that are of the highest threat to service provision and Shire operations.

### 3.1. LOSS OF ADMINISTRATION BUILDING

Types of incidents include fire, flood and earthquake (Refer to Immediate Response Checklist).

#### TASK 1 - Immediate Response

This task provides the necessary command and control to enable the Shire of Kojonup's Incident Response Team to conduct an initial assessment of the disaster and to co-ordinate the Shire's initial response to the disaster.

##### Incident Response Team

Team Leader:	Chief Executive Officer
Team Members:	<u>Property Services &amp; Natural Resource Manager</u> <u>Manager Regulatory Services</u> Risk Management Co-ordinator Fire Warden Shire President (Media Liaison) <u>CESM</u>

##### Recovery Procedure

Incident Response Team Leader/Fire Warden to undertake the following steps:

- Ensure site has been evacuated and all personnel are accounted for
- Secure site and prevent access
- Contact Emergency Services and Police
- Identify any injuries and render assistance
- Engage Incident Response Team
- Undertake an initial assessment of damage and risks
- Call Optus and arrange the diversion of phone lines to existing Shire mobiles
- Team Leader determines time frame to switch to disaster recovery site

##### Recovery Time Objective

Timeframe for this activity is within 24 hours of the incident

##### Recovery Location

Primary Site: Memorial Hall

Secondary site: Works Depot

##### Resource requirements

Mobile phones

iPads and laptops

Charging devices (regularly checked for charge)

Personnel

##### Other Considerations

1. Secure the affected area as necessary
2. Restrict access to the building/site
3. Liaise with Emergency Services and Police

4. Inform Local Government Insurance Services (LGIS)
5. Inform elected members and employees
6. Liaise with Shire President to make a press release
7. Inform community where possible

## TASK 2 – Commence operations from Disaster Recovery Site

This task provides the necessary steps to commence core Shire operations from the Disaster Recovery site and commence the planning for restoration of services in the short and longer term.

### Incident Response Team

Team Leader:	Chief Executive Officer
Team Members:	<del>Manager Regulatory Services</del>
	<del>Risk Management Co-ordinator</del>
	IT Officer
	<u>Manager Finance &amp; Corporate Services</u>
	<u>CESM</u>

### Recovery Procedure

Undertake the following steps:

- Establish the disaster recovery site – **Chief Executive Officer**
  - Layout workspace utilising tables and chairs from the Memorial Hall
  - Source telephones, establish communications and arrange to have calls directed to mobile telephones.
  - Allocate staff to customer service and disaster recovery assistance
  - Liaise with other Incident Response Team members to determine items to be immediately replaced and what is recoverable.
  - Contact IT Vision, Shire's IT supplier (Pre-emptive Strike), stationery supplier
  - Recover backup disks from external site
  - Cancel all forward bookings of the Memorial Hall.
- Assess damage and undertake salvage operations – **Chief Executive Officer, ~~Manager Regulatory Services~~ Property Services & Natural Resource Manager**
  - Undertake initial assessment of salvageable materials, items and records, etc.
  - Contact staff to remove items to the salvage site (Town Hall or Depot)
- Co-ordinate all communications, media and elected members, Local Government insurers and general co-ordination of recovery process – **Chief Executive Officer**
  - Liaise with Shire President to issue a media statement
  - Co-ordinate meetings of Incident Response team
  - Authorise all immediate purchasing requirements
  - Liaise with Shire's insurers
  - Oversee Assessment and Recovery

### Recovery Time Objective

It is the aim of the Recovery Plan to achieve this task within 72 hours.

### Resource Requirements

- Office furniture and stationery
- Administration staff
- IT hardware and software
- Communications (land line and internet)

## **TASK 3 – Assess damage and prepare medium term Recovery Plans**

This task provides the necessary steps to commence planning for medium term operations from the Disaster Recovery Site.

### Incident Response Team

Team Leader:	Chief Executive Officer
Team Members:	<a href="#">Property Services &amp; Natural Resource Manager</a>
	Risk Management Co-ordinator
	IT Officer
	<a href="#">Manager Financial &amp; Corporate Services</a>

### Recovery Procedure

Undertake the following steps:

- Establish the disaster recovery site for full operations in the medium to longer term – **Chief Executive Officer**
  - Recover data to pre disaster state
  - Bring all records up to date
  - Contact all necessary persons to inform of incident, expected delays and seek documentation where necessary
  - Establish necessary equipment and infrastructure requirements to provide full operations from recovery site including demountable buildings and other office accommodation.
- Finalise damage assessment and commence planning for re-establishing services through full or partial rebuild – **Chief Executive Officer, ~~Manager Regulatory Services~~ [Property Services & Natural Resource Manager](#)**
  - Undertake assessment of building and determine action to fully or partially rebuild and make recommendation to Council.
- Co-ordinate all communications, media and elected members, Local Government insurers and general co-ordination of recovery process – **Chief Executive Officer**
  - Oversee assessment and recovery
  - Co-ordinate meetings of Incident Response Team
  - Oversee planning for medium term operation from Disaster Recovery Site (6-12 months)

### Recovery Time Objective

4 weeks

#### Resource Requirements

- IT contractors
- Additional infrastructure as identified
- Contractors to clean up disaster site

### **TASK 4 – Long term Recovery Plan and relocation to permanent Shire Office building**

This task provides the necessary steps to finalise planning, rebuilding and recommencement of operation from the permanent Shire office building.

#### Incident Response Team

Team Leader: Chief Executive Officer

Team Members: ~~Manager Regulatory Services~~ Property Services & Natural Resource Manager

IT Officer

Manager Financial & Corporate Services

#### Recovery Procedure

Undertake the following steps: **Chief Executive Officer**

- Establish working party to:
  - Review operations for location of new premises
  - Undertake design and tendering processes
  - Oversee construction of new premises
  - Oversee commissioning of new premises
- Present review findings to Council for decision
  - Appoint architect, exterior and interior designers, engineers and other necessary assistance to design, specify and document new premises
  - Issue tenders, appoint contractor and commence construction
  - Commission new premises and commence operations from new building

#### Recovery Time Objective

From the commencement of this task, 4 weeks after the incident, it is the target to have all Shire functions permanently operating from the rebuilt Shire offices in 12 months.

#### Resource Requirements

- Planning assistance
- Consultants/architects
- Contractors



## 3.2. COMPLETE IT HARDWARE FAILURE

This task provides the necessary steps to recover the Shire's IT system as a result of complete failure resulting in replacement of the IT system (Refer to Immediate Response Checklist).

### Incident Response Team

Team Leader:	Chief Executive Officer
Team Members:	Risk Management Co-ordinator
	IT Provider
	IT Officer

### Recovery Procedure

Undertake the following steps:

- Assess severity of outage through the Shire's IT provider and determine likely outage time
- Seek quotations and place orders for replacement components
- Contact Shire's insurers and Police if necessary
- Inform Council, community and business contacts (i.e.; banks, creditors and contractors) of potential delays in providing services
- Set up and install new hardware/install all software and restore from backups
- Reconcile and rebuild all data

### Recovery Time Objective

2 weeks

### Resource requirements

IT suppliers (hardware/software, Synergy Soft, Department of Transport, Police, etc.)

### 3.3. LOSS OF DEPOT BUILDINGS

Types of incidents include fire, flood and earthquake (Refer to Immediate Response Checklist).

#### TASK 1 - Immediate Response

This task provides the necessary command and control to enable the Shire of Kojonup's Incident Response Team to conduct an initial assessment of the disaster and to co-ordinate the Shire's initial response to the disaster.

##### Incident Response Team

Team Leader:	Chief Executive Officer
Team Members:	Manager Works and Services <del>Manager Regulatory Services</del> <u>Property Services &amp;</u> <u>Natural Resource Manager</u> Risk Management Co-ordinator Fire Warden IT Officer <u>Manager Financial &amp; Corporate Services</u>

##### Recovery Procedure

Incident response Team Leader and Fire Warden to undertake the following steps:

- Ensure site has been evacuated and all personnel are accounted for
- Secure site and prevent access
- Contact Emergency Services and Police
- Identify any injuries and render assistance
- Engage Incident Response Team
- Undertake an initial assessment of damage and risks
- Team Leader determines time frame to switch to Disaster Recovery site
- Call Optus and arrange diversion of phone lines to existing Shire mobiles

##### Recovery Time Objective

Timeframe for this activity is within 24 hours of being called by the Incident Response Team Leader.

##### Recovery Location

Primary Site: Shire Depot Site if depot site can be utilised  
Secondary site: Land adjacent to the current depot  
Third Site: Lay down area in Industrial Estate

##### Resource requirements

Mobile phones  
Personnel  
Equipment and Stores

##### Other Considerations

1. Secure the affected area as necessary

2. Restrict access to the building/site
3. Liaise with Emergency Services and Police
4. Inform Local Government Insurance Services (LGIS)
5. Inform Elected Members, employees
6. Liaise with Shire President to make a press release
7. Inform community where possible

## TASK 2 – Commence operations from Disaster Recovery Site

This task provides the necessary steps to commence core Shire operations from the Disaster Recovery site and commence the planning for restoration of services in the short and longer term.

### Incident Response Team

Team Leader: Chief Executive Officer

Team Members: Manager Works and Services

~~Manager Regulatory Services~~ Property Services &

### Natural Resource Manager

Risk Management Co-ordinator

IT Officer

### Recovery Procedure

Undertake the following steps:

- Establish the disaster recovery site – **Manager Works & Services**
  - Establish appropriate temporary depot site on land adjacent to the current depot
  - Administration function to resume from Shire office
  - Liaise with other Incident Response Team members to determine items to be immediately replaced and what is recoverable
- Assess damage and undertaken salvage operations – **Manager Works and Services, Chief Executive Officer, ~~Manager Regulatory Services~~ Property Services & Natural Resource Manager**
  - Undertake initial assessment of salvageable materials, items and records, etc
  - Engage staff to remove items to the land adjacent to the current depot
- Co-ordinate all communications, media and elected members, Local Government insurers and general co-ordination of recovery process – **Chief Executive Officer**
  - Liaise with Shire President to issue a media statement
  - Oversee assessment and recovery
  - Co-ordinate meetings of Incident Response Team
  - Authorise all immediate purchasing requirements
  - Liaise with Shire's insurers

### Recovery Time Objective

It is the aim of the Recovery Plan to achieve this task within 72 hours.

### Resource Requirements

- Office furniture and stationery
- Depot Administration and Works staff
- IT hardware and software
- Communications (land line and internet)

### **TASK 3 – Assess damage and prepare medium term recovery plans**

This task provides the necessary steps to commence planning for medium term operations from the Disaster Recovery Site.

#### Incident Response Team

Team Leader:	Chief Executive Officer
Team Members:	Manager Works and Services
	Risk Management Co-ordinator
	IT Officer
	<a href="#">Manager Financial &amp; Corporate Services</a>

#### Recovery Procedure

Undertake the following steps:

- Establish the disaster recovery site for full operations in the medium to longer term – **Manager Works & Services, IT Officer**
  - Establish appropriate temporary depot site on land adjacent to the current depot
  - Administration function to resume from Shire office (or alternate site)
  - Contact all necessary persons to inform of incident, expected delays and seek documentation where necessary
  - Liaise with CEO to establish necessary equipment and infrastructure requirements to provide full operations from recovery site
- Finalise damage assessment and commence planning for re-establishing services through full or partial rebuild – **Manager Works and Services, Chief Executive Officer, ~~Manager Regulatory Services~~ [Property Services & Natural Resource Manager](#)**
  - Undertake assessment of building and determine action to fully or partially rebuild and make recommendation to Council
- Co-ordinate all communications, media and elected members, Local Government insurers and general co-ordination of recovery process – **Chief Executive Officer**
  - Oversee assessment and recovery
  - Co-ordinate meetings of Incident Response Team
  - Oversee planning for medium term operation from Disaster Recovery Site (6-12 months)

#### Recovery Time Objective

4 weeks

#### Resource Requirements

- IT contractors

- Additional infrastructure as identified
- Contractors to clean up disaster site

## **TASK 4 – Long term Recovery Plan and relocation to permanent Shire Depot building**

This task provides the necessary steps to finalise planning, rebuilding and recommencement of operation from the permanent Shire Depot building.

### Incident Response Team

Team Leader:	Chief Executive Officer
Team Members:	Manager Works and Services
	Manager Regulatory Services
	Working Party appointed by Council
	<a href="#">Manager Financial &amp; Corporate Services</a>
	<a href="#">CESM</a>

### Recovery Procedure

Undertake the following steps: **Chief Executive Officer, Manager Works and Services**

- Establish working party to:
  - Review operations for location of new premises
  - Undertake design and tendering processes
  - Oversee construction of new premises
  - Oversee commissioning of new premises
- Present review findings to Council for decision
- Appoint architect, exterior and interior designers, engineers and other necessary assistance to design, specify and document new premises
- Issue tenders, appoint contractor and commence construction
- Commission new premises and commence operations from new building

### Recovery Time Objective

From the commencement of this task, after 4 weeks from the incident, it is the target to have all Shire functions permanently operating from the rebuilt Shire Depot in 12 months.

### Resource Requirements

- Planning assistance
- Consultants/architects
- Contractors

### 3.4. LOSS OF SPRINGHAVEN LODGE

Types of incidents include fire, flood and earthquake (Refer to Immediate Response Checklist). A separate appendix (Appendix 1) is attached being the Pandemic Response Plan for use during an epidemic/pandemic.

#### TASK 1 - Immediate Response

This task provides the necessary command and control to enable the Shire of Kojonup's Incident Response Team to conduct an initial assessment of the disaster and to co-ordinate the Shire's initial response to the disaster.

##### Incident Response Team

Team Leader: Chief Executive Officer

Team Members: Manager Springhaven

~~Manager Regulatory Services, Property Services &~~

##### Natural Resource Manager

Risk Management Co-ordinator

Fire Warden

IT Officer

##### Recovery Procedure

Incident Response Team Leader/Fire Warden to undertake the following steps:

- Ensure site has been evacuated and all personnel and residents are accounted for
- Transfer of residents to Kojonup Hospital or neighbouring facilities in the interim
- Secure site and prevent access
- Contact Emergency Services and Police
- Identify any injuries and render assistance
- Engage Incident Response Team
- Undertake an initial assessment of damage and risks
- Call Optus and arrange diversion of phone lines to existing Shire mobiles
- Team Leader determines time frame to switch to disaster recovery site

##### Recovery Time Objective

Timeframe for this activity is within 24 hours of being called by the Incident Response Team Leader.

##### Recovery Location

Primary Site: Kojonup Hospital

Secondary site: Katanning Hospital/Nursing facilities

##### Resource requirements

Mobile phones

Personnel

### Other Considerations

1. Secure the affected area as necessary
2. Restrict access to the building/site
3. Liaise with Emergency Services and Police
4. Inform families of residents
5. Inform Local Government Insurance Services (LGIS)
6. Inform elected members and employees
7. Liaise with Shire President to make a press release
8. Inform community where possible

## **TASK 2 – Commence operations from Disaster Recovery Site and Relocate residents**

This task provides the necessary steps to accommodate residents in other hospitals or nursing home facilities and commence the planning for restoration of services in the short and longer term.

### Incident Response Team

Team Leader:	Chief Executive Officer
Team Members:	Manager Springhaven Manager Works and Services Risk Management Co-ordinator

### Recovery Procedure

Undertake the following steps:

- Establish facilities to transfer residents from Kojonup hospital if required
- Establish the disaster recovery site – **Manager Springhaven**
  - Source telephones, establish communications and arrange to redirect calls to landline
  - Allocate staff to customer service and disaster recovery assistance
  - Liaise with other Incident Response Team members to determine items to be immediately replaced and what is recoverable.
- Assess damage and undertaken salvage operations – **Chief Executive Officer, Manager Springhaven, Manager Works and Services, ~~Manager Regulatory Services~~ Property Services & Natural Resource Manager**
  - Undertake initial assessment of salvageable materials, items and records, etc.
  - Contact staff to remove items to the salvage site (Town Hall or Depot)
- Co-ordinate all communications, media and elected members, Local Government insurers and general co-ordination of recovery process – **Chief Executive Officer**
  - Liaise with Shire President to issue a media statement
  - Co-ordinate meetings of Incident Response team
  - Authorise all immediate purchasing requirements
  - Liaise with Shire's insurers.

### Recovery Time Objective

It is the aim of the Recovery Plan to achieve this task within 72 hours.

### Resource Requirements

- Office furniture and stationery
- Administration and Works staff
- IT hardware and software
- Communications (land line and internet)

## **TASK 3 – Assess damage and prepare medium term Recovery Plans**

This task provides the necessary steps to commence planning for medium term operations from the Disaster Recovery Site.

### Incident Response Team

Team Leader: Chief Executive Officer

Team Members: Springhaven Manager – Registered Nurse  
Manager Works and Services

~~Manager Regulatory Services~~ Property Services &

### Natural Resource Manager

Risk Management Co-ordinator

IT Officer

Manager Financial & Corporate Services

### Recovery Procedure

Undertake the following steps:

- Establish the disaster recovery site for full operations in the medium to longer term – Springhaven **Manager – Registered Nurse**
  - Recover data to pre disaster state
  - Bring all records up to date
  - Contact all necessary persons to inform of incident, expected delays and seek documentation where necessary
  - Establish necessary equipment and infrastructure requirements to provide full operations from recovery site including demountable buildings and other office accommodation
- Finalise damage assessment and commence planning for re-establishing services through full or partial rebuild – **Chief Executive Officer, Manager Springhaven, Manager Works and Services, ~~Manager Regulatory Services~~ Property Services & Natural Resource Manager**
  - Undertake assessment of building and determine action to fully or partially rebuild and make recommendation to Council.
- Co-ordinate all communications, media and elected members, Local Government insurers and general co-ordination of recovery process – **Chief Executive Officer**
  - Oversee assessment and recovery
  - Co-ordinate meetings of Incident Response Team
  - Oversee planning for medium term operation from Disaster Recovery Site (6-12 months)



#### Recovery Time Objective

4 weeks

#### Resource Requirements

- IT contractors
- Additional infrastructure as identified
- Contractors to clean up disaster site

## **TASK 4 – Long term Recovery Plan and relocation to permanent Premises**

This task provides the necessary steps to finalise planning, rebuilding and recommencement of operation from the permanent Shire office building.

#### Incident Response Team

Team Leader: Chief Executive Officer

Team Members: Manager Springhaven  
Manager Works and Services

~~Manager Regulatory Services~~ Property Services &

#### Natural Resource Manager

Shire President

Manager Financial & Corporate Services

#### Recovery Procedure

Undertake the following steps: **Chief Executive Officer**

- Establish working party to:
  - Review operations for location of new premises
  - Undertake design and tendering processes
  - Oversee construction of new premises
  - Oversee commissioning of new premises
- Present review findings to Council for decision
- Appoint architect, exterior and interior designers, engineers and other necessary assistance to design, specify and document new premises
- Issue tenders, appoint contractor and commence construction
- Commission new premises and commence operations from new building

#### Recovery Time Objective

From the commencement of this task, after 4 weeks from the incident, it is the target to have all Shire functions permanently operation from the rebuilt Springhaven Lodge in 12 months.

#### Resource Requirements

- Planning assistance
- Consultants/architects
- Contractors

## 3.5. LOSS OF THE KODJA PLACE

Types of incidents include fire; flood and earthquake (Refer to Immediate Response Checklist).

### TASK 1 - Immediate Response

This task provides the necessary command and control to enable the Shire of Kojonup's Incident Response Team to conduct an initial assessment of the disaster and to co-ordinate the Shire's initial response to the disaster.

#### Incident Response Team

Team Leader:	Chief Executive Officer
Team Members:	Manager Works and Services <del>Manager Regulatory Services</del> <u>Property Services &amp;</u> <u>Natural Resource Manager</u> Risk Management Co-ordinator Fire Warden

#### Recovery Procedure

Incident Response Team Leader to undertake the following steps:

- Ensure site has been evacuated and all personnel and visitors/customers are accounted for
- Secure site and prevent access
- Contact Emergency Services and Police
- Identify any injuries and render assistance
- Undertake an initial assessment of damage and risks
- Call Optus and arrange diversion of phone lines to existing Shire mobiles
- Determine time frame to switch to disaster recovery site

#### Recovery Time Objective

Timeframe for this activity is within 24 hours of the incident

#### Recovery Location

Primary Site: RSL Hall  
Secondary site: Town Hall

#### Resource requirements

Mobile phones

#### Other Considerations

1. Liaise with Emergency Services and Police
2. Inform elected members and employees
3. Inform Press and community where possible
4. Inform Local Government Insurance Services

## TASK 2 – Commence operations from Disaster Recovery Site

This task provides the necessary steps to commence core Kodja Place/Visitor Centre operations from the Disaster Recovery site and commence the planning for restoration of services in the short and longer term.

### Incident Response Team

Team Leader: Chief Executive Officer

Team Members: Manager Works and Services

~~Manager Regulatory Services~~ Property Services & Natural Resource Manager

Risk Management Co-ordinator

### Recovery Procedure

Undertake the following steps:

- Establish the disaster recovery site – **Chief Executive Officer**
  - Source telephones, establish communications and arrange to redirect calls to landline
  - Allocate staff to customer service and disaster recovery assistance
  - Liaise with other Incident Response Team members to determine items to be immediately replaced and what is recoverable.
- Assess damage and undertaken salvage operations – **Chief Executive Officer, Manager Works and Services, ~~Manager Regulatory Services~~ Property Services & Natural Resource Manager**
  - Undertake initial assessment of salvageable materials, items and records, etc.
  - Contact staff to remove items to the salvage site (RSL or Town Hall)
- Co-ordinate all communications, media and elected members, Local Government insurers and general co-ordination of recovery process – **Chief Executive Officer**
  - Liaise with Shire President to issue a media statement
  - Co-ordinate meetings of Incident Response team
  - Authorise all immediate purchasing requirements
  - Liaise with Shire's insurers

### Recovery Time Objective

It is the aim of the Recovery Plan to achieve this task within 72 hours.

### Resource Requirements

- Office furniture and stationery
- Administration and Works staff
- IT hardware and software
- Communications (land line and internet)

## TASK 3 – Assess damage and prepare medium term Recovery Plans

This task provides the necessary steps to commence planning for medium term operations from the Disaster Recovery Site.

### Incident Response Team

Team Leader: Chief Executive Officer

Team Members: Manager Works and Services

~~Manager Regulatory Services~~ Property Services &

Natural Resource Manager

Risk Management Co-ordinator

Manager Financial & Corporate Services

### Recovery Procedure

Undertake the following steps:

- Establish the disaster recovery site for full operations in the medium to longer term – **Manager Regulatory Services**
  - Recover data to pre disaster state
  - Bring all records up to date
  - Contact all necessary persons to inform of incident, expected delays and seek documentation where necessary
  - Establish necessary equipment and infrastructure requirements to provide full operations from recovery site including demountable buildings and other office accommodation
- Finalise damage assessment and commence planning for re-establishing services through full or partial rebuild – **Chief Executive Officer, Manager Works and Service, ~~Manager Regulatory Services~~ Property Services & Natural Resource Manager**
  - Undertake assessment of building and determine action to fully or partially rebuild and make recommendation to Council
- Co-ordinate all communications, media and elected members, Local Government insurers and general co-ordination of recovery process – **Chief Executive Officer**
  - Oversee assessment and recovery
  - Co-ordinate meetings of Incident Response Team
  - Oversee planning for medium term operation from Disaster Recovery Site (6-12 months)

### Recovery Time Objective

4 weeks

### Resource Requirements

- IT contractors
- Additional infrastructure as identified
- Contractors to clean up disaster site

## **TASK 4 – Long term Recovery Plan and relocation to permanent office building**

This task provides the necessary steps to finalise planning, rebuilding and recommencement of operation from the permanent office building.

### Incident Response Team

Team Leader:

Chief Executive Officer

Team Members:

Manager Works and Services

~~Manager Regulatory Services~~ Property Services &

Natural Resource Manager

Shire President

Manager Financial & Corporate Services

### Recovery Procedure

Undertake the following steps: **Chief Executive Officer**

- Establish working party to:
  - Review operations for location of new premises
  - Undertake design and tendering processes
  - Oversee construction of new premises
  - Oversee commissioning of new premises
- Present review findings to Council for decision
- Appoint architect, exterior and interior designers, engineers and other necessary assistance to design, specify and document new premises
- Issue tenders, appoint contractor and commence construction
- Commission new premises and commence operations from new building

### Recovery Time Objective

From the commencement of this task, after 4 weeks from the incident, it is the target to have all Kodja Place precinct functions permanently operational from the rebuilt Kodja Place in 12 months.

### Resource Requirements

- Planning assistance
- Consultants/architects
- Contractors

### Immediate Response Checklist

INCIDENT RESPONSE	✓	ACTIONS TAKEN
Have you:	<input type="checkbox"/>	
• assessed the severity of the incident?	<input type="checkbox"/>	
• evacuated the site if necessary?	<input type="checkbox"/>	
• accounted for everyone?	<input type="checkbox"/>	
• identified any injuries to persons?	<input type="checkbox"/>	
• contacted Emergency Services?	<input type="checkbox"/>	
• implemented your Incident Response Plan?	<input type="checkbox"/>	
• started an Event Log?	<input type="checkbox"/>	
• activated staff members and resources?	<input type="checkbox"/>	
• appointed a spokesperson?	<input type="checkbox"/>	
• gained more information as a priority?	<input type="checkbox"/>	
• briefed team members on incident?	<input type="checkbox"/>	
• allocated specific roles and responsibilities?	<input type="checkbox"/>	
• identified any damage?	<input type="checkbox"/>	
• identified critical activities that have been disrupted?	<input type="checkbox"/>	
• kept staff informed?	<input type="checkbox"/>	
• contacted key stakeholders?	<input type="checkbox"/>	
• understood and complied with any regulatory/ compliance requirements?	<input type="checkbox"/>	
• initiated media/public relations response?	<input type="checkbox"/>	

## 4. Event Log

The Event Log is to be used to record information, decision and actions in the period immediately following the critical event or incident.

Date	Time	Information/Decisions/Actions	Initials



## 5. Register of Initials

Name:	Initial:	Signed:

## 6. Incident Recovery Checklist

INCIDENT RESPONSE	✓	ACTIONS
Now that the crisis is over, have you:	<input type="checkbox"/>	
• refocused efforts towards recovery?	<input type="checkbox"/>	
• deactivated staff members and resources as necessary?	<input type="checkbox"/>	
• continued to gather information about the situation as it affects you?	<input type="checkbox"/>	
• assessed your current financial position?	<input type="checkbox"/>	
• reviewed cash requirements to restore operations?	<input type="checkbox"/>	
• contacted your insurance broker/company?	<input type="checkbox"/>	
• developed financial goals and timeframes for recovery?	<input type="checkbox"/>	
• kept staff informed?	<input type="checkbox"/>	
• kept key stakeholders informed?	<input type="checkbox"/>	
• identified information requirements and sourced the information?	<input type="checkbox"/>	
• set priorities and recovery options?	<input type="checkbox"/>	
• updated the Recovery Plan?	<input type="checkbox"/>	
• captured lessons learnt from your individual, team and business recovery?	<input type="checkbox"/>	

## 7. Evacuation Procedures

Relevant procedures and plans have been developed and are displayed in accordance with Council's OSH policy and procedures in positions easily accessible to staff and customers.

## 8. Emergency kit

In the event of evacuation or damage to the Administration building, Works Depot, Springhaven Lodge or The Kodja Place and relocation of the unit to a Disaster Recovery Site two emergency kits have been made up.

The kits are located at:

- The Administration Building, in the server room; and
- The Kodja Place, behind the main desk.

The Risk Management Coordinator is responsible for annually checking and updating the kits.

The items and documents included in the emergency kit are:

- Business Continuity Plan and Disaster Recovery Plan incorporating contact lists
- List of staff names and contact numbers
- Councillor contact details
- Copy of Shires templates and forms (on a USB)
- Basic stationery
- One ream of Council Letterhead
- Box of envelopes

## 9. Pandemic Response Plan

See Pandemic Response Plan – Appendix 1

## 10. Review and Maintain

It is critical that this plan is regularly reviewed to ensure that it remains relevant, accurate and useful. The Risk Management Co-ordinator is responsible for reviewing and maintaining the plan including annual updating of all the contact and insurance lists. This maintenance is a key factor in the successful implementation of the plan during an emergency.

The plan should use staff titles rather than names and any organisational structure changes must be reviewed with the plan.

After an event it is important to assess the performance of the plan, highlighting what was handled well and what could be improved upon next time.

Each workplace fire warden will develop an evacuation process which will be laminated and displayed clearly for staff and visitors to access.

## LGIS Insurance Policies

Insurance type	Policy coverage	Policy exclusions	Insurance company and contact	Last review date	Payments due
<i>Business Interruption</i>	<i>Business interruption due to:</i> <ul style="list-style-type: none"> <li>• Fire</li> <li>• Flood</li> <li>• Theft</li> </ul>	<ul style="list-style-type: none"> <li>• Terrorism</li> <li>• Tsunami</li> <li>• Landslide</li> </ul>	<i>LGIS – David Wood (9483 8888)</i> <i>Policy No V01.2014</i>	<i>30 June Annually</i>	<i>Annually</i>
<i>Motor Vehicle</i>	<i>All motor vehicles and trailers</i>	<b>Section 1 Loss or damage to vehicles as per Interest Insured.</b> Current market value at the time of loss or damage or sum insured value specified in the Declaration of vehicles, whichever is the lesser, but limited per council to \$20,000,000 any one event. <b>Section 2 Cover for Third Party Liability</b> \$35,000,000 but limited to \$5,000,000 for any dangerous goods carrying vehicles, for all claims arising from the one accident or series of accidents resulting from the one original cause (as defined in this section of the policy).	<i>LGIS – David Wood (9483 8888)</i> <i>Zurich 002152</i>	<i>30 June Annually</i>	<i>Annually</i>
<i>Personal Accident</i>	<i>The Mayor, Chairperson, Elected Members, Councillors, Commissioners, Employees of the Insured, Accompanying Partners/Spouses of the Covered Persons above, Voluntary Workers, Members of any Committees and Trusts. Other Persons where the Insured is required to provide coverage whilst such persons are engaged in any Government Labour Market, Training or Job Creation Projects.</i>	<i>Covering Insured Persons whilst engaged in a Journey and any other activity directly or indirectly connected with or on behalf of the Authority and Insured Persons whilst engaged in any activity directly or indirectly connected with or on behalf of the Authority.</i>	<i>LGIS – David Wood (9483 8888)</i> <i>Policy No 93130605</i>	<i>30 June Annually</i>	<i>Annually</i>

Insurance type	Policy coverage	Policy exclusions	Insurance company and contact	Last review date	Payments due
Public liability	100% protection	None	LGIS – David Wood (9483 8888) Policy No 000114	30 June Annually	Annually
Workers Compensation	100% protection Lump Sum \$300,000 Weekly \$2,500	None	LGIS – David Wood (9483 8888) Policy No 000121	30 June Annually	Annually
Buildings – Shire office	\$4,079,250 - industrial special risks, machinery breakdown, electronic equipment, general property, includes physical loss, destruction or damage to property	None – excess only	LGIS – David Wood (9483 8888) Policy No 114	30 June Annually	Annually
Contents – Shire office	\$500,000	None – excess only	LGIS – David Wood (9483 8888) Policy No 114	30 June Annually	Annually
Building – Springhaven Lodge	\$5,953,500 – industrial special risks, machinery breakdown, electronic equipment, general property, includes physical loss, destruction or damage to property	None – excess only	LGIS – David Wood (9483 8888) Policy No 114	30 June Annually	Annually
Contents – Springhaven Lodge	\$420,000	None – excess only	LGIS – David Wood (9483 8888) Policy No 114	30 June Annually	Annually
Fidelity Guarantee	Loss as a result of an act or acts of employee dishonesty (\$400K)	\$50,000 excess	LGIS – David Wood (9483 8888) Policy No 05CH005846	30 June Annually	Annually
Building – Kodja Place	\$4,704,100 - industrial special risks, machinery breakdown, electronic equipment, general property, includes physical loss, destruction or damage to property	None – excess only	LGIS – David Wood (9483 8888) Policy No 114	30 June Annually	Annually
Contents – Kodja Place	\$250,000	None – excess only	LGIS – David Wood (9483 8888) Policy No 114	30 June Annually	Annually
Management Liability Councillors and Officers	\$4,000,000		LGIS – David Wood (9483 8888) Chubb 001877	30 June Annually	Annually

Insurance type	Policy coverage	Policy exclusions	Insurance company and contact	Last review date	Payments due
Bush Fire Volunteer Bush Fire Brigade Members	\$20,000,000 for all claims arising from one event \$750,000 Annual aggregate stop loss limit	None	LGIS – David Wood (9483 8888) LGIS 000114	30 June Annually	Annually
Medical Malpractice	\$20,000,000	\$1,000 excess	Vero Insurance LPP 104157341	30 June Annually	Annually
Commercial Crime and Cyber Liability	\$500,000 Internal Crime External Crime Theft Physical Loss or Damage	\$1,000 excess	David Wood (9483 8888) LGIS 001877 Chubb Australia	30 June Annually	Annually

## 11. Data Security and Backup Strategy

The Shire of Kojonup **protects our data and our network** (e.g.; virus protection, secure networks and firewalls, secure passwords and data backup procedures). For security reasons, specific details of these processes are not included in this publicly available plan, but are available from the Chief Executive Officer when required.

## 12. Business Impact Analysis

*As part of the **Business Continuity Plan** the Shire has undertaken a **Business Impact Analysis** which will use the information in the Risk Management Plan to assess the identified risks and impacts in relation to critical activities of the Shire operations and determine basic recovery requirements.*

### **Critical Business Activity**

The following table lists the critical business activities that must be performed to ensure the Shire's business continues to operate effectively.

#### **General Risk Area 1**

Finance and Accounting  
Payroll  
Environmental Health

#### **General Risk Area 2**

Road construction and maintenance  
Public Conveniences  
Waste Management



## Business Impact Analysis

Critical Business Activity	Description	Priority	Impact of loss <i>(losses in terms of financial, staffing, reputation etc.)</i>	RTO <i>(critical period before business losses occur)</i>
General Risk Area 1	<p>All critical activities to manage Council's key administrative and governance processes:</p> <ul style="list-style-type: none"> <li>• Finance and Accounting</li> <li>• Payroll</li> <li>• Environmental Health</li> </ul>	High	<ul style="list-style-type: none"> <li>• Staffing numbers will not change; however, there will be an impact on productivity levels as functions are completed manually or resources are redirected to the recovery process</li> <li>• Continuing payment of permanent and part time Springhaven staff whilst residents accommodated elsewhere and until new building completed – cost of wages v no income from facility</li> <li>• The urgent re-establishment of these critical needs may result in Council breaching various statutory and service requirements</li> <li>• There will be a minor impact on customer services which may temporarily reflect upon Council poorly</li> <li>• The re-establishment of the service will depend on many alternate suppliers, such as IT and Communication suppliers, electricity and software providers</li> </ul>	72 hours

Critical Business Activity	Description	Priority	Impact of loss <i>(losses in terms of financial, staffing, reputation etc.)</i>	RTO <i>(critical period before business losses occur)</i>
General Risk Area 2	<p>All critical activities to manage Council's on ground, engineering and maintenance services:</p> <ul style="list-style-type: none"> <li>• Road construction and maintenance</li> <li>• Public conveniences</li> </ul>	High	<ul style="list-style-type: none"> <li>• Re-establishment/incremental costs: <ul style="list-style-type: none"> <li>○ Machinery at hire rates</li> <li>○ Public conveniences – no impact</li> </ul> </li> <li>• Staffing numbers will not change; however, there will be an impact on productivity levels as functions are completed manually or resources are redirected to the recovery process</li> <li>• There will be minor impact on customer services which may temporarily reflect upon Council poorly</li> <li>• The urgent re-establishment of these critical needs may result in Council temporarily breaching various statutory and service requirements</li> </ul>	72 hours

## 13. Action Plan for Implementation

Action	Responsible Officer	Timeframe
Commence planning and undertake test of documented incident plans	SMT & Risk management Co-ordinator	
Review document as a result of test and in preparation for Council	SMT & Risk management Co-ordinator	Reviewed annually: May 2019 April 2020 September 2021 May 2023
Prepare Emergency Kit as identified in this Plan	Risk management Co-ordinator	Prepared and reviewed annually
Educate and train all staff on the plan	Risk management Co-ordinator	Distribute after each review
Investigate contractual requirements for radio failure and alternative contingency plans for methods of communications for works staff	Manager Works & Services  Chief Executive Officer	

## 14. Glossary

Business Continuity Planning	A process that helps develop a plan document for a business to ensure that it can operate to the extent required in the event of a crisis/disaster.
Business Continuity Plan	A document containing all of the information required to ensure that the business is able to resume critical business activities should a crisis/disaster occur.
Business Impact Analysis	The process of gathering information to determine basic recovery requirements for our key business activities in the event of a crisis/disaster.
Key business activities	Those activities essential to deliver outputs and achievement of business objectives.
Recovery Time Objective (RTO)	The time from which you declare a crisis/disaster to the time that the critical business functions must be fully operational in order to avoid serious financial loss.
Resources	The means that support delivery of an identifiable output and/or result. Resources may be money, physical assets, or most importantly, people.
Risk Management	Is the process of defining and analysing risks, and then deciding on the appropriate course of action in order to minimise these risks, whilst still achieving business goals.

## 15. Appendix

### Pandemic Response Plan