

Shire of Broome

Asset Sustainability Practices		Risk		Control	
		Moderate	Adequate		
Actions / Treatments	Due Date	Responsibility		Status of Actions / Treatments	
Documented role-specific skills training for new inductees / post performance reviews	Nov-19	Manager People & Culture		To be investigated by MPC	
Develop a system to record all asset maintenance and repairs	Nov-19	Asset Building Coordinator		Develop process and procedures to ensure all asset maintenance and repairs are recorded in relevant SynergySoft modules (Plant, Building) and Road Asset Management Module (RAMM)	
Set aside funds annually for future road maintenance requirements (as per Asset Management Plan)	Annual	Director Infrastructure		Complete for 19/20 LTFP - AMP Renewal process incorporated into LTFP and Annual Budget cycle	
Increase lighting coverage across town	Nov-19	Director Infrastructure			
LTFP upgraded to reflect Asset Management Plan	Annual	Manager Finance		Complete for 19/20 LTFP - occurs as part of the CBP / LTFP review and annual budget process.	
Identify areas for Black Spot funding (high accident prone areas)	Annual	Director Infrastructure		Complete for 19/20 LTFP - 10 Year Capital Infrastructure Program includes Blackspot identification which is incorporated into LTFP and Annual Budget cycle	
Reactive maintenance (Buildings & other structures)	Nov-19	Asset Building Coordinator / Manager Sport &			
Asset renewal - Buildings	Nov-19	Asset Building Coordinator / Manager Sport &		Lack of BRAC specific renewal actions / items in AMP	
Business & Community Disruption		Risk		Control	
		High	Adequate		
Actions / Treatments	Due Date	Responsibility		Status of Actions / Treatments	
RM 2.2 Insurance Strategy or Policy be developed to provide clarity on issues such as the level of self-insurance, the adequacy of cover and the basis of the valuation of the insured assets.	May-19	Manager Governance		Draft document to be developed for presentation to the Audit and Risk Committee May 2019.	
RM 3.6 Local Emergency Management Arrangements & recovery plans	Nov-18	Mannager Health Emergencies & Rangers		Local Emergency Management Plan is being reviewed and will be tested once finalised. The current plan is compliant with the legislation however considered inadequate by officers. Grant funding requests have been made to obtain a fixed term officer to assist in this project.	
RM 3.12 Emergency Response Procedures – Shire Buildings	Nov-18	Asset Building Coordinator		Update required for procedures at the Admin Centre, Depot and Waste Management Facility. Procedures have been drafted for Admin building however require reviewing following administration office refurbishment Civic Centre – emergency response and evacuation plan in existence – to be updated to reflect cyclone procedures. BRAC, CC & Library?	
RM 3.3 BCP - That, as high priority, an effective documented Business Continuity Plan be developed including relevant disaster recovery plans. That, once adopted, the Plan's effectiveness be tested	Nov-19	Director Corporate Services		Draft document still requires final review and amendment to ensure suitability and effectiveness. RFQ being developed for implementation in early 2019.	
RM 3.14 Information Systems Plans	Jun-19	Manager Information Services		Develop Information Services Disaster Recovery and Backup and Recovery Plans	
Failure to fulfil Compliance requirements (statutory, regulatory)		Risk		Control	
		Moderate	Adequate		
Actions / Treatments	Due Date	Responsibility		Status of Actions / Treatments	
LC 1.1 Code of Conduct or similar to be developed for Volunteers	May-19	Manager People & Culture		Under development - propose new date of May-19	
LC 2.1 Purchasing Policy	Aug-18	Senior Procurement Risk & Governance Officer		Complete - Policy adopted at June OMC	
LC 3.1 Communications - ensure staff, contractors and regular volunteers are aware of their obligation to report breaches of legislation to the appropriate Officer.	May-17	Manager People & Culture		The Shire's current process is undertaken through OSH reporting and the onsite induction process. Staff Survey conducted in Dec 17 confirms employees are aware of OSH reporting and induction process. Further works to be included in the Shire's corporate contractor induction process pending finalisation. Development of Business Ethics Statement.	
IC 2.1 Management Policy - internal control framework be developed reflecting a risk based approach to internal controls and providing the monitoring and reporting systems.	Nov-18	Risk TAG		Internal Control Framework developed and in operation however leaving open until process is firmly established and embedded across organisation.	
IC 2.3 Internal audit - as the level of documented procedures increases, an expanded internal audit function to confirm adherence to documented policies and procedures may be required.	Dec-18	Manager Governance		Currently, no internal auditors have been appointed, and limited internal audit functions have been undertaken. The Senior Procurement, Risk and Governance Officer will coordinate an internal audit.	
IC 4.1 Monitoring - That an internal audit function be developed to monitor the appropriateness and effectiveness of financial and non-financial internal controls.	November - Biennially Now once every 3 financial years	Risk TAG		December 2016 review completed by external consultant. While internal review is recommended current staff resources do not permit the development of an internal audit function. An external consultant will provide a biennial review as per the Audit Reg 17 regulations with ongoing risk management functions monitored by the Risk TAG. Next external audit review December 2018.	
Investigate feasibility of compliance software	Jul-18	Manager Governance		Complete - Attain software implemented. Currently Primary and Annual Returns and Related Party Disclosures with further compliance activities targeted over the coming months.	
Document Management processes		Risk		Control	
		Moderate	Adequate		
Actions / Treatments	Due Date	Responsibility		Status of Actions / Treatments	
IC 3.3 Opportunity exists to improve and document standard operating procedures with key controls clearly identified. Once these procedures are developed and implemented, they require constant monitoring for adherence and efficiency.	November 17 - Ongoing	Manager Finance		Standard operating procedures exist for selected, but not all, financial procedures. Procedure documentation is being developed by officers where it does not currently exist.	
IC 3.9 Workflow diagrams - In conjunction with the development of documented procedures and checklists, development of workflow process diagrams may assist in clearly identifying controls and processes to be followed.	Apr-19	Manager Information Services		Workflow diagrams have not been compiled.	
Implement formal document records management procedures	Mar-19	Manager Information Services		Full procedure review. Develop proces for tracking all incoming and outgoing email correspondence	
Employment practices		Risk		Control	
		High	Adequate		
Actions / Treatments	Due Date	Responsibility		Status of Actions / Treatments	
RM 2.3 Staff Housing Policy	Apr-18	Director Corporate Services / Manager People & Culture		Policy and BOP have been reviewed and are in final draft state. Final Draft out for comment for presentation to December OMC.	
RM 3.8 Workforce Plan	Nov-18	Manager People & Culture		The Workforce Plan is under review. Please note organisational risks have been identified in the external analysis section 2.1.1-2.1.15 and internal analysis section 3.3.1 -3.3.14 and again in Workforce Planning 4.1.1 page 47. In order to satisfy the auditors, the risk section will itemise the known risks under 4.5.9 organisational risk management. CBP adopted December 2017; Organisational survey completed and will be used to form the basis of the next review.	
RM 5.2 Risk management training be available to elected members and all senior staff undergo relevant risk management training.	November - Annually	Director Corporate Services		Risk Management Training funds not assigned through budget process. Potential to assign funds through LGIS initiatives.	
Conduct an internal staff satisfaction survey	Annual	Manager People & Culture		Initial survey completed - quarterly surveys to be undertaken in future	
Engagement practices		Risk		Control	
		Moderate	Adequate		
Actions / Treatments	Due Date	Responsibility		Status of Actions / Treatments	
Review Communications Strategy		Media Promotions Officer			
Ensure communication strategy encapsulates requirements for Advisory groups		Media Promotions Officer			
Environment management		Risk		Control	
		Moderate	Adequate		
Actions / Treatments	Due Date	Responsibility		Status of Actions / Treatments	
Update GIS environmental information	May-19	Manager Information Services		No progress	
Develop business processes to ensure classified contaminated sites are appropriately managed	May-19	Director Development & Community		New action	
Errors, omissions & delays		Risk		Control	
		Moderate	Adequate		
Actions / Treatments	Due Date	Responsibility		Status of Actions / Treatments	
Formalise guidelines for attendance at seminars or training events, especially for non-management staff	May-19	Manager People and Culture		Procedures to be developed and endorsed	
Formalise membership requirements and benefits of staff	May-19	Manager People and Culture		Procedures to be developed and endorsed	
Develop improved Performance Appraisal framework including procedures and training	May-19	Manager People and Culture		Framework and procedures to be developed and endorsed. Training to be provided post implementation	
External theft & fraud (Inc. Cyber Crime)		Risk		Control	
		Moderate	Adequate		
Actions / Treatments	Due Date	Responsibility		Status of Actions / Treatments	

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Implement Civic Centre sign-in book and cash handling procedure	Dec-17	Civic Centre Coordinator	Outstanding
Link library, Civic Centre & BRAC duress alarms to response unit after hours or issue emergency pendant for lone-worker safety	Apr-18	Manager Community and Development	Ongoing
Change key entry at Civic Centre and install further CCTV at BRAC	May-18	Manager Information Services	BRAC CCTV upgrade complete
Install eItpos at Library	May-19	Coordinator Library Services	New action
Upgrade waste management facility and Ranger impound yard security	May-19	Waste Coordinator	New action
IT Disaster Recovery Plan to be developed	May-19	Manager Information Services	No progress - new date proposed
Management of Facilities / Venues / Events			
		Risk	Control
		Moderate	Adequate
Actions / Treatments	Due Date	Responsibility	Status of Actions / Treatments
All Improvement Plan actions have been completed for this risk profile. Actions will be populated from the Risk Profile Register			
Standardise hiring agreements and bonds	Nov-19	Manager Community & Economic Development	
Implement post-event evaluations	May-19	Manager Community & Economic Development	Evaluation pending for Reconciliation Week Event. Informal evaluations being conducted for minor events and programs. Processes being tightened and developed.
Review liquor consumption on Shire facilities policy	May-19	Manager People & Culture	New date proposed
Review Emergency procedures at all venues	May-19	Asset & Building Coordinator	Evacuation diagrams completed for all Shire facilities however full procedures remain
Facility operation manuals and maintenance plans	Nov-19	Asset & Building Coordinator	Documentation required for all facilities
IT or communication systems and infrastructure			
		Risk	Control
		Moderate	Adequate
Actions / Treatments	Due Date	Responsibility	Status of Actions / Treatments
Finalise I.T. Disaster Recovery Plan to deal with failure or an attack	May-19	Manager Information Services	No IT Disaster Recovery Plan or IT Security Plan are in place. Interim protection by relocating a replica of our current system to the civic centre. The backup is then copied offsite on a continuous basis. The replica is working and we also now have a GenSet to maintain power.
Finalise installation of building generator	Aug-17	Manager Information Services	Complete
Internal ICT steering committee	Jun-19	Manager Information Services	
Misconduct			
		Risk	Control
		Moderate	Adequate
Actions / Treatments	Due Date	Responsibility	Status of Actions / Treatments
Formalise Governance Framework	May-19	Manager Governance	Draft prepared by Acting Manager Governance - to be reviewed and presented to Council following adoption of Code of Conduct.
Implement Social Media policy	May-19	Media Promotions Officer	
Review credit card procedures	Nov-18	Manager Finance	Complete
Update 'Investment of surplus funds' policy	Jun-19	Manager Finance	
Review and update IT use and e-mail procedures	May-19	Manager Information Services	New date proposed
Implement Whistle-blower policy (PID / Internal)	Nov-19	Manager Governance	Complete - Information Statement
Project / Change management			
		Risk	Control
		Moderate	Adequate
Actions / Treatments	Due Date	Responsibility	Status of Actions / Treatments
Implement formal Project Management Framework / guidelines for all projects, including post-project debriefs	Mar-19	Chief Executive Officer / Director Corporate Services	Project Management System RfQ out
Implement post project debriefs	Mar-19	Director Corporate Services	
Safety and Security practices			
		Risk	Control
		High	Adequate
Actions / Treatments	Due Date	Responsibility	Status of Actions / Treatments
RM 3.15 - Volunteer and Contractor Inductions	Nov-18	Manager People & Culture	Contractor inductions complete. Will be conducted as required. Volunteer inductions to be developed.
Documented labour-hire role-specific inductions	May-19	Manager People & Culture	Process in place however procedure requires documentation - propose new date
Staff certification and licencing requirements calendar accessible to all users	May-19	Manager People & Culture	Process in place however procedure requires documentation - propose new date
Implement minimum number of monthly documented safety inspection audits for feedback to management	May-19	Manager People & Culture	Needs reviewed in line with OH&S improvement process - propose new date
Install swipe-card entry at entry door on right side of Reception	May-19	Asset & Building Coordinator	No progress - new date proposed
Supplier / Contract management			
		Risk	Control
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Actions / Treatments	Due Date	Responsibility	Status of Actions / Treatments
All Improvement Plan actions have been completed for this risk profile. Actions will be populated from the Risk Profile Register			
Contract Management Training	May-19	Senior Procurement Risk & Governance Officer	Cert IV Procurement and Contract Management training rolled out however limited completion rates. New date for relevant staff to be trained.
Develop a contractor checklist to ensure all contractor details are confirmed at inception and annually	May-19	Senior Procurement Risk & Governance Officer	In place however procedure requires documentation - new date proposed
Investigate ways to improve procurement process	Nov-18	Senior Procurement Risk & Governance Officer	Complete - Procurement process in place and reviewed on an ongoing basis.
Issue guidelines regarding the correct Contract document to use for procurement			
Review IT Vision contract service delivery conditions	Nov-18	Manager Information Services	Complete
Statement of Business Ethics	May-19	Manager Governance	Advice from the DLGSC is that Business Ethics Statements have also been promoted by the CCC as a way for local governments to guide external parties (eg suppliers and contractors) on the expected standards and conduct required when dealing with a local government, or acting on its behalf. New date proposed.