

Reg 17 and Risk Action Plan – July 2023 update

Completed In progress Ongoing Not yet commenced Reviewed elsewhere

Recommendations:	Actions:	Date completed/ comment:
Annual review of risk management policy, framework and register to be monitored through Attain	- Relevant items added to Attain calendar	10 January 2023.
Annual review of Business Continuity Plan to be monitored through Attain	- Plan to be updated and reviewed annually	Business Continuity Plan review commenced July 2023.
Revalue Shire's Infrastructure Assets Early in 2023	- Completion of revaluations - Complete updates in software system - Notify Insurers of any significant changes	Completed March – June. In progress July 2023. TBC
Employee Code of Conduct Reviewed	- Code of Conduct reviewed, published and disseminated - HR Sessions conducted with staff	December/ January Sessions completed.
Attain calendar maintained and updated		Ongoing
Review insurance cover	- Review policies and schedules prior to each financial year	Completed May 2023.
Policy review calendar to be developed	- Develop a policy review calendar/ timeline	
A focus placed on internal controls relating to Audit findings in 2020/21 and 2021/22 financial years	2020/21	
	- Credit card policy developed and implemented	November 2022
	- Process implemented for employee master file to be checked fortnightly	October 2022
	- All journals reviewed and signed by EMCS	8 August 2022
	- Compliance with procurement processes *2022/23 Interim Audit completed – 1 Minor finding relating to payment of DFES ESL invoices. No other procurement findings noted.	Purchasing policy updated. Delegations register updated. Purchasing Authority Limits reviewed and communicated to staff.
	- Bank Reconciliations completed monthly and signed by EMCS	December 2022
	- Standardised and centralised HR practices implemented throughout the organisation. Ongoing phased process.	Position Descriptions and Classifications reviewed. Organisation Structure loaded into IT system. HR admin and consultant managing all processes.
	2021/22	
- Bank rec/ employee master file/ procurement practices (on own lines above)		

	- Review of risk management system and procedures presented to Audit and Council Annual review added to Attain calendar	December 2022
	- Process for end of day reconciliations implemented	October 2022 Work instruction in development.
	- Money processed through trust bank account	June 2023
	- Fixed asset register not reconciling	Auditors advised this would be corrected once Infrastructure Asset revaluations completed (these are currently in progress).
	- Fair value of Infrastructure assets	Valuations completed.
	- Payroll practices - Ensure signed contracts on file for all staff - Higher duties work instruction to be created and disseminated to Exec Staff	Implementation of digital payroll solution nearing completion. Employment contracts reviewed.
	- Risk register	December 2022
	- Audit committee terms of reference	Developed and endorsed December 2022.
	- Purchasing Policy review	Completed March 2023, endorsed by Council May 2023.
	- Asset Management Policy review	Endorsed by Council June 2023.
	- Rates reconciliation (signed by EMCS)	2022/23 sign off August 2022. 2023/24 reconciliation in progress.
Review of processes	- Review of finance processes - Creation of Work Instructions for all finance tasks	Commenced February 2023. Will be ongoing throughout 2023.
Review of Delegation Register	- Changes required to DL4.12	May 2023
Audit Committee involved in Risk Framework review	- Audit Committee presented with regular reports on improvement/ action plans	Presented March and July 2023.
Shire of Merredin Recordkeeping Plan review	- Recordkeeping Plan reviewed and updated	December 2022 Final acceptance by SRO May 2023.
Shire of Merredin Workforce Plan review	- Workforce Plan review	

Risk Dashboard Review

Asset Management			
Action	Completed Y/N	Date Due	Date Completed/ Notes
RAMMS Training	Y	Nov-23	Completed May 2023
Verification of Roads data into RAMMS	Partial	Nov-23	Ongoing, process has commenced.
Quarterly stocktakes at works depot	Y	Dec-23	Completed 30 June 2023
Review and update Asset Management Policy	Y	Jun-23	June 2023
Create Asset Management Strategy	N	Dec-23	CEO has discussed a revised timeframe with Council.
Business and Community Disruption			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Implement internal emergency management arrangements across Shire	N	ongoing	
Review LEMA annually	N	ongoing	This will be completed by December 2023.
Failure to Fulfil Compliance Requirements (statutory, regulatory)			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Review Compliance Calendar within Attain	ongoing	ongoing	
Review process for CAR completion	Y	ongoing	2022 CAR presented to Audit and Council March
Quarterly monitoring of Attain outcomes at SMG	Y	ongoing	On agenda at all meetings
Document Management Process			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Digitise HR records	Partial	Dec-23	records digitisation
Digitise vital records	Partial	Dec-23	Some records digitised
Review policies and create Policy Index with 'last reviewed date' component	Partial	Dec-23	A number of policies reviewed
Review procedures and create Procedure Index with 'last reviewed date' component	N	Jun-24	
Creation of key secure documents that are unable to be edited (H Drive)	Partial	Mar-23	Most folders/ documents secured
Continue to review archives of the Shire	Partial	Ongoing	Records officer has commenced review

Employment Practices			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Develop and implement Recruitment Process	Partial	Jun-23	Mostly completed – PDs and Classifications reviewed and updated
Updating HR Synergy Module	Partial	Dec-23	Commenced
Review of qualification, licenses and tickets for required staff	Partial	ongoing	In progress. Training register updated and reviewed regularly.
Engagement Practices			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Review Engagement & Consultation Framework	N	Jan-24	
Complete Community Scorecard Survey	N	Dec-23	Not within budget, alternative methods under consideration
Environment Management			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Complete outstanding actions from waste water re-use audit	N	Jan-23	Next audit September 2023. Non compliant items have been addressed where not included in the CBD Redevelopment.
Training to be completed for the waste water management program	N	ongoing	
Develop Landfill Closure Plan	N	Dec-23	Funds allocated in 2023/24 budget
Errors, Omissions and Delays			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Identify key procedures for ALL areas, to be documented	N	Dec-23	
Create Procedural/Internal Management procedures and policies	Partial	Dec-23	Some initial procedures created.
Consider a 'Knowledge Management' system for procedures (intranet)	Partial – intranet in place but not well utilised	Dec-23	
Regularly review key information on website for accuracy	Y	ongoing	Completed on an ongoing cycle
Consider implementing a process to track complaints/ work requests	Partial	Dec-23	A spreadsheet is in place currently to log requests/ Snap send solves
External Theft, Fraud or Damage			
Action	Completed Y/N	Date Due	Date Completed/ Notes

Review Admin Security Procedure to include changing of the 4-digit access system every 6 months or when staff leave	Y	ongoing	Staff assigned personal PINs for alarm system as required
Review of contractor access and induction processes, including assessment of effectiveness and consistency	Partial	ongoing	Inductions of staff following commencement of employment with the Shire of Merredin. Use of VELPIC training module and assistance from LGIS Regional Risk Coordinator for induction of contractors.
Management of Facilities/ Venues/ Events			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Review internal procedures for events and bookings - communication focus	N	Sep-23	Delayed due to staff turnover
Review facility/ venue hire forms created for Cummins Theatre & other external facilities	N	Jan-24	
IT or Communications Systems and Infrastructure			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Develop an IT equipment register and replacement plan	Partial	Dec-23	Commenced
Develop and implement ICT Framework	N	Dec-23	
Review performance of IT vendors	N	Dec-23	
Implement staff and councillor training for enhanced IT security	N	Dec-23	
Review staff IT access profiles on shared drive and in SynergySoft	Partial	Dec-23	Commenced
Misconduct			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Review of Induction Procedure	Partial	ongoing	Commenced
Review Fraud & Corruption Control Plan	N	Dec-23	
Authorised officers letters of appointment (unions)	Partial	Dec-23	Register created.
Ethical and Accountable Decision-Making training	Partial	ongoing	Part of staff reinduction March
Projects/ Change Management			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Develop project management plans for the management of major projects (i.e. CBD)		As required	Kept as live documents, updated as required.
Safety and Security Practices			
Action	Completed Y/N	Date Due	Date Completed/ Notes

Determine contractor/ site inspection procedural approach	Y	Nov-23	Use of VELPIC training module and assistance from LGIS Regional Risk Coordinator for induction of contractors.
Review OHS and new guidelines as identified	Partial	Nov-23	Senior management training - roles and responsibilities under new WHS legislation completed by members of executive.
Conduct Annual Risk Assessment for BFB and SES	N	Jun-23	Planned for completion prior to December 2023.
Supplier/ Contract Management			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Regular review of Tenders, Contracts, Agreements and Grants SynergySoft module	Y	ongoing	Contract and Grant milestones emailed weekly
Procurement and Disposal			
Action	Completed Y/N	Date Due	Date Completed/ Notes
Review local panel of suppliers	Partial	Nov-23	In progress. Meeting conducted with WALGA 12 July 2023
Review the Disposal of Assets Policy to include updated regulations	N	Dec-23	
Training for requisitions and purchase orders	N	ongoing	Completed one on one as required presently