



Attachments

Audit And Risk Management Committee Meeting

Tuesday, 20 August 2024

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Agenda Item 5.1.1 - Attachment 1

Minutes of the Audit And Risk Management Committee
Meeting held 21 May 2024



Published Minutes

Audit And Risk Management Committee Meeting

Tuesday, 21 May 2024

Date:	Tuesday 21 May 2024
Time:	8:30am
Location:	Council Chambers, Onslow Shire Complex. Second Avenue, Onslow
Distribution Date:	Friday 24 May 2024



Shire of Ashburton
Audit And Risk Management Committee Meeting

The Chief Executive Officer recommends the endorsement of these minutes at the next Audit And Risk Management Committee Meeting.

K Donohoe
Chief Executive Officer
24 May 2024

These minutes were confirmed by Council as a true and accurate record of proceedings at the Audit And Risk Management Committee Meeting held on Tuesday, 21 May 2024.

Presiding Member _____

Date _____

Disclaimer

The Shire of Ashburton warns anyone who has an application lodged with Council must obtain, and should only rely on, written confirmation of the outcomes of the application following the Council meeting, and any conditions attaching to the decision made by Council in respect of the application. No responsibility whatsoever is implied, or accepted, by the Shire of Ashburton for any act, omission, statement, or intimation occurring during a Council meeting.

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1 Declaration Of Opening

The Presiding Member declared the meeting open at 8:30am.

1.1 Acknowledgement Of Country

As representatives of the Shire of Ashburton Council, we respectfully acknowledge the local Indigenous people, the traditional custodians of this land where we are meeting upon today and pay our respects to them and all their elders past, present and emerging.

2 Announcement Of Visitors

Nil

3 Attendance

3.1 Present

Elected Members:	SP A Smith Cr K White Cr R De Pledge Cr M Lynch Cr R Kapor	Shire President Deputy Shire President, Onslow Ward Ashburton-Tablelands Ward Tom Price Ward Tom Price Ward (Deputy Member)
Employees:	K Donohoe J Sangster C McGurk D Kennedy A Johnston R Marlborough A Furfaro B Van Rensburg	Chief Executive Officer Deputy Chief Executive Officer Director Community Development Director Corporate Services Manager Media and Communications Senior Governance Officer Governance Officer Council Support Officer
Guests:	Steven Tweedie	
Members of Public:	There were no members of the public in attendance at the commencement of the meeting.	
Members of media:	There were no members of the media in attendance at the commencement of the meeting.	

3.2 Apologies

Nil

3.3 Approved Leave Of Absence

Cr A Sullivan Paraburdoo Ward From 21 May 2024 to 21 May 2024

4 Declaration By Members**4.1 Due Consideration By Elected Members To The Agenda**

Elected Members noted they have given due consideration to all matters contained in this agenda.

4.2 Declaration Of Interest

A member who has an Impartiality, Proximity or Financial interest in any matter to be discussed at this meeting must disclose the nature of the interest either in a written notice, given to the Chief Executive Officer, prior to the meeting, or at the meeting immediately before the matter is discussed.

A member who makes a disclosure in respect to an interest must not preside at the part of the meeting which deals with the matter, or participate in, or be present during any discussion or decision-making process relative to the matter, unless the disclosing member is permitted to do so under Section 5.68 or Section 5.69 of the *Local Government Act 1995*.

The following declarations of interest are disclosed –

6.2 Procurement Internal Audit - February 2024	
Name	Cr M Lynch
Nature of interest	Impartiality
Interest description	My wife, Renae Lynch is the Senior Procurement Officer for the Shire of Ashburton. The Senior Procurement Officer ensures all processes and procedures required to ensure a compliant tender process together with a fair and equitable evaluation.

5 Confirmation Of Minutes

5.1 Confirmation Of Previous Minutes

5.1.1 Minutes Of The Audit And Risk Management Committee Meeting Held On 20 February 2024

Committee Decision

Moved Cr M Lynch

Seconded Cr R De Pledge

That the Minutes of the Audit And Risk Management Committee Meeting held 20 February 2024 (Item 5.1.1 Attachment 1) be confirmed as a true and accurate record.

For: A Smith, K White, R De Pledge, M Lynch and R Kapor

Against: Nil

Carried 5/0

6 Public Agenda Items

6.1 Audit Log Status Update

File Reference	CM52
Applicant or Proponent(s)	Not Applicable
Author	J Bray, Manager Governance
Authorising Officer	J Sangster, Deputy Chief Executive Officer
Previous Meeting Reference	Audit and Risk Management Committee 20 February 2024 - Item 6.1
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. Audit Log Pending Items - April 2024

Report Purpose

Council is required to review the Audit Log actions.

The purpose of this report is to provide Council oversight of the implementation of actions resulting from internal audits and external reviews.

Council is requested to receive the Audit Log status updates.

Background

The Chief Executive Officer (CEO) is required to ensure adequate systems and processes are established for the effective management and control of the Shire.

Internal audits and external reviews are examples of methods Council may use to ensure sound management of the Shire is occurring.

Following the finalisation of an internal audit and/or external review, recommendations are included in the Audit Log to ensure progress is monitored and recorded.

Comments

This report covers the period 30 January 2024 to 29 April 2024.

No issues have been closed since the last report due to the vacancy in the Shire's Internal Auditor position.

Internal Audit

A summary of the progress on the implementation of internal audit recommendations is provided in the following table.

There are 141 issues open across various processes as of 29 April 2024. All actions for the Building Permit Application Process have been completed therefore, ongoing reporting will cease on this topic.

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Internal Audit Topics	Not Started		In Progress		Validated		Total Items		Total Open	
	29 Apr	29 Jan	29 Apr	29 Jan	29 Apr	29 Jan	29 Apr	29 Jan	29 Apr	29 Jan
Review of 2019 FMR	0	0	3	3	1	1	4	4	3	3
Procurement	1	1	1	1	18	18	23	23	5	5
Risk Management	3	3	12	12	4	4	19	19	15	15
Grants Management	10	10	0	0	1	1	11	11	10	10
Records Management [21]	2	2	3	3	10	10	15	15	5	5
Records Management [22]	7	7	6	6	19	19	32	32	13	13
Cyber Security	4	4	16	16	3	3	23	23	20	20
Business Continuity, Disaster Recovery and Incident Management	20	20	3	3	3	3	26	26	23	23
Building Permit Application Process	0	0	0	0	26	26	26	26	0	0
Contract Management	0	0	7	7	10	10	17	17	7	7
Fraud and Corruption	9	9	8	8	10	10	27	27	17	17
Payroll & HR	1	1	5	5	2	2	8	8	6	6
Regulation 17-2023	5	5	12	12	12	12	29	29	17	17
Totals	62	62	76	76	119	119	260	260	141	141

No recommendations have been completed since last reported to the Audit and Risk Management Committee on 20 February 2024.

Financial Audits

A summary of the progress on the implementation of financial audit recommendations is provided in the following table.

There are 15 issues open across various processes as of 29 April 2024.

Internal Audit Topics	Not Started		In Progress		Validated		Total Items		Total Open	
	29 Apr	29 Jan	29 Apr	29 Jan	29 Apr	29 Jan	29 Apr	29 Jan	29 Apr	29 Jan
Financial – 30 June 2016/17/18	0	0	0	0	3	3	3	3	0	0
Financial – 30 June 2019	0	0	0	0	4	4	4	4	0	0
Financial – 30 June 2020	0	0	0	0	5	5	5	5	0	0
Financial – 30 June 2021	1	1	0	0	8	8	9	9	1	1

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Financial – 30 June 2022	1	1	0	0	5	5	6	6	1	1
Financial – 30 June 2023	5	5	0	0	0	0	5	5	5	5
IT General Controls 2020/2021 & 2021/22	3	3	5	5	2	2	10	10	8	8
Totals	10	10	5	0	27	27	42	42	15	15

No recommendations have been completed since last reported to the Audit and Risk Management Committee on 20 February 2024.

Note: Full Audit Log attached (Attachment 1) shows only the actions pending.

Consultation

Nil

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	4. Performance - We will lead the organisation, and create the culture, to deliver demonstrated performance excellence to the community.
Strategic Outcome	4.6 Visionary community leadership with sound, diligent and accountable governance
Strategy	3 Deliver best practice governance and risk management.

Council Policy

Nil

Financial Implications

Current Financial Year

Nil

Future Financial Year(s)

Nil

Legislative Implications

In accordance with regulation 17 of the *Local Government (Audit) Regulations 1996*, the CEO is to review the appropriate and effectiveness of a local government's systems and procedures in relation to:

- Risk management,
- Internal control, and
- Legislative compliance.

The CEO is to report to the Audit and Risk Management Committee, the results of each review.

Audit And Risk Management Committee Meeting Minutes

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Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Compliance	Compliance failures if areas identified for improvement are not addressed.	Possible (3)	Major (4)	High (10-16)	Implement process improvements as a result of internal audits/external reviews and provide regular progress reporting to the Audit and Risk Management Committee.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be high.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to Audit Log Status Update, the Audit and Risk Management Committee recommends that Council, receives the updated Audit Log.

Committee Decision

Moved Cr R Kapor

Seconded Cr M Lynch

That with respect to Audit Log Status Update, the Audit and Risk Management Committee recommends that Council, receives the updated Audit Log.

For: A Smith, K White, R De Pledge, M Lynch and R Kapor

Against: Nil

Carried 5/0

Cr M Lynch disclosed an impartiality interest in Item 6.2 (detailed in Item 4.2).

6.2 Procurement Internal Audit - February 2024

File Reference	CM52
Applicant or Proponent(s)	Not Applicable
Author	D Weerasingha, Internal Auditor
Authorising Officer	J Sangster, Deputy Chief Executive Officer
Previous Meeting Reference	Ordinary Council Meeting 8 August 2023 - Item 6.2-150/2023 – Strategic Internal Audit Plan
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. Internal Audit over Procurement - February 2024

Report Purpose

Internal Audit over Procurement (IOAP) February 2024 has been scheduled to conduct per Strategic Internal Audit Plan in 3rd Quarter 2023-2024.

Council is requested to receive the Internal Audit over Procurement (IOAP February 2024 report (refer to Attachment 1).

Background

The *Local Government (Function and General) Regulation 1996* provides guidelines for local governments in relation to procurement activities. Purchasing activities should align to general principles of transparency, probity, good governance, and compliance.

Last such internal audit had been carried out in 2021 by M/S Moore Australia and issued the report on 22 April 2021.

Objective of IAOP is to assess the adequacy and effectiveness of established controls and compliance with applicable regulations.

Comments

This report presents the findings of the IAOP of the Shire for the period of 1 July 2021 to 30 November 2023 (referred to as the "engagement period").

The assessment of the adequacy and effectiveness of internal controls were conducted against the procurement control matrix developed by the Department of Local Government, Sport and Cultural Industries. The assessment results are showing under Annexure 1 to the report from page 13 to 25.

Significant findings are listed under finding sections as summarised in below table. Details of findings are showing from page 8 to 13.

The effectiveness of internal controls was evaluated for each finding based on the control's effectiveness matrix provided in the Shire adopted risk management framework showing on page 26.

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S/N	Finding	Control Effectiveness	Target Date of Completion
1	Inadequate procurement risk assessment	Adequate	Dec 2024
2	Inadequate quotations	Adequate	June 2024
3	No previous experience records maintained/ considered in evaluation	Adequate	Dec 2024
4	Inadequate financial evaluation in RFT	Adequate	Dec 2024
5	Frequent variations requests	Adequate	Aug 2024
6	Untraceable RFT exemptions	Adequate	Aug 2024
7	Inadequate refresher training	Adequate	Feb 2025

All actions are pending to be completed and target dates to complete are shown above.

Please see the attached full report for complete details on findings, implications, recommendations, agreed corrective actions and target completion date.

Consultation

As per the adopted Strategic Internal Audit Plan, the consultation framework is shown below:

Output	IIA Standard	Council	Audit and Risk Management Committee	CEO/ ELT	Audit Sponsor/ Director	Internal Audit
Internal Audit Charter	1000	Adopt	Review / Recommend	Consult / Inform	Inform	Develop
Strategic Internal Audit Plan	2010	Adopt	Review / Recommend	Consult / Inform	Consult / Inform	Develop
Annual Internal Audit Service Delivery Plan	2010	Adopt	Review / Recommend	Consult / Inform	Consult / Inform	Develop
Internal Audit Manual	2040	Adopt	Review / Recommend	Consult / Inform	Inform	Develop
Quality Assurance and Improvement Plan	1300, 1320	Adopt	Review / Recommend	Consult / Inform	N/A	Develop
Annual Internal Audit Status Report	2060	Receive	Review / Recommend	Inform	Inform	Develop / Approve
Audit Engagements						
Planning Memorandum	2200	N/A	N/A	Consult/ Approve	Consult	Develop / Approve
Draft Report	2400	N/A	N/A	N/A	Consult	Develop
Final Report	2400, 2440	Receive	Review / Recommend	Inform	Inform	Develop / Approve

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	4. Performance - We will lead the organisation, and create the culture, to deliver demonstrated performance excellence to the community.
Strategic Outcome	4.6 Visionary community leadership with sound, diligent and accountable governance
Strategy	3 Deliver best practice governance and risk management.

Council Policy[Council Policies » Shire of Ashburton](#)

Nil

Financial ImplicationsCurrent Financial Year

Nil

Future Financial Year(s)

Nil

Legislative Implications

Regulation 5(2)(c) of the *Local Government (Financial Management) Regulations 1996* states:

"The CEO is to-

undertake reviews of the appropriateness and effectiveness of the financial management systems and procedures of the local government regularly (and not less than once in every 3 financial years) and report to the local government with the results of those reviews."

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Compliance	Compliance failures if areas identified for improvement are not addressed.	Possible (3)	Major (4)	High (10-16)	Implement process improvements as a result internal/external reviews and provide regular progress reporting to the Audit and Risk Management Committee.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be high.

Audit And Risk Management Committee Meeting Minutes

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Voting Requirements

Simple Majority

Officer Recommendation

That with respect to the Procurement Internal Audit – February 2024, the Audit and Risk Management Committee recommends that, Council, receives the report, as detailed in Attachment 1.

Committee Decision**Moved** Cr K White**Seconded** Cr M Lynch

That with respect to the Procurement Internal Audit – February 2024, the Audit and Risk Management Committee recommends that, Council, receives the report, as detailed in Attachment 1.

For: A Smith, K White, R De Pledge, M Lynch and R Kapor**Against:** Nil**Carried 5/0**

6.3 Review of Council Policy - Risk Management

File Reference	GV20
Applicant or Proponent(s)	Not Applicable
Author	J Bray, Manager Governance
Authorising Officer	D Kennedy, Director Corporate Services
Previous Meeting Reference	Ordinary Council Meeting 13 December 2022 - Item 12.5 – 171/2022 Ordinary Council Meeting 18 July 2017 – Item 13.6
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. Council Policy - Risk Management (proposed) 2. Council Policy - Risk Management (current)

Report Purpose

It is good governance for Council to regularly review its policies.

The purpose of this report is to provide details of the review of Council Policy – Risk Management that has been undertaken.

Council is requested to adopt the new Council Policy – Risk Management (Attachment 1) which replaces the current policy (Attachment 2) for the reasons set out in this report.

Background

Effective risk management is fundamental to the organisation achieving its strategic and operational objectives, and it plays an integral role in day-to-day management and decision making at all levels.

Council's current Risk Management Policy was last reviewed on 13 December 2022.

Comments

Effective risk management is integral to shaping the strategic direction of the Shire of Ashburton (the Shire) and contributes to evidence-based decision-making and successful objective attainment. Effective risk management can:

- Safeguard the Shire from strategic threats
- Prevent loss of life or injury
- Safeguard the Shire's reputation
- Protect assets and resources
- Ensure delivery of community services meeting expectations
- Minimise legal liabilities
- Prevent disruption to Shire operations
- Prevent financial losses, including theft and fraud
- Ensure timely, budgeted, and quality project delivery.

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Risk management enhances the Shire's performance by identifying and mitigating events/incidents hindering objective achievement. Managing and communicating risks should seamlessly integrate into existing processes and procedures to maximize benefits.

The new Risk Management Policy was developed by the Shire's risk management consultant, Paladin Risk Management Services. The policy has been formatted into the Shire's policy template however, is significantly different from the current policy therefore, no track changes are marked up.

The new policy provides comprehensive overarching guidance to Council and staff and is complemented by Risk Management Procedures (under development), collectively forming the Shire's new Risk Management Framework, which aligns with the AS/NZS ISO 31000:2018 standard. It outlines the role of the Audit and Risk Management Committee and Council in risk management at the Shire.

The adoption of this new Risk Management Policy is one step in the risk management project to implement an effective risk management function at the Shire. Actions to date and next steps are detailed in the table below.

Date	Action
8 April 2024	Draft Risk Management Policy and plans circulated to Executive Leadership Team (ELT) and Middle Management Group (MMG)
16 April 2024	Risk management training session with Council
17 April 2024	Risk management training session with staff
16 May 2024	Risk Management Policy review considered by the Audit and Risk Management Committee and Council
July 2024 (TBC)	Strategic Risk Workshop – ELT
July 2024 (TBC)	Strategic Risk Workshop – Council
July 2024 (TBC)	Enterprise/Operational Risk Workshop/s – ELT, MMG and key staff
20 August 2024	Strategic Risk Plan and Register to be considered by the Audit and Risk Management Committee and Council
September 2024 (TBC)	Enterprise/Operational Risk Plan and Register to be considered by the Chief Executive Officer/ELT

By ingraining risk management principles into the organisation's culture and decision-making processes, the Shire will be better positioned to anticipate, assess, and respond to risks, ensuring its long-term success.

Consultation

The proposed policy was circulated to the Executive Leadership Team and Middle Management Group for comment.

The policy was also considered by the Shire's (Audit, Risk and Compliance Improvement Technical Advisory Group).

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Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	4. Performance - We will lead the organisation, and create the culture, to deliver demonstrated performance excellence to the community.
Strategic Outcome	4.6 Visionary community leadership with sound, diligent and accountable governance
Strategy	3 Deliver best practice governance and risk management.

Council Policy[Council Policies » Shire of Ashburton](#)

The proposed Council Policy – Risk Management will replace the current policy.

Financial ImplicationsCurrent Financial Year

Nil

Future Financial Year(s)

Nil

Legislative Implications

In accordance with section 2.7 of the *Local Government Act 1995*, the Council is responsible for determining the local government's policies.

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Compliance	Policy doesn't provide sufficient detail to guide staff.	Possible (3)	Minor (2)	Moderate (5-9)	Adopt the proposed policy.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be low.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to the review of Council Policy – Risk Management, Council, adopts the new Council Policy – Risk Management as detailed in Attachment 1, which replaces the current policy detailed in Attachment 2.

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Committee Decision**Moved** Cr K White**Seconded** Cr R Kapor

That with respect to the review of Council Policy – Risk Management, the Audit and Risk Management Committee recommends that Council, defers this item to the next Council briefing session in relation to risk management.

Carried 5/0

7 New Business Of An Urgent Nature Introduced By Council Decision

Nil

8 Next Meeting

The next Audit And Risk Management Committee Meeting will be held at 8:30am on Tuesday 20 August 2024 at Council Chambers, Onslow Shire Complex, Second Avenue, Onslow.

9 Closure Of Meeting

There being no further business, the Presiding Member closed the meeting at 8:51am.



Agenda Item 6.1 - Attachment 1

Internal Audit Log - August 2024

SOA IA 2 Aug 2024

Shire of Ashburton

IA			Current Review Date:										
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
22-Apr-21	Moore Australia	Review of FMR	Fixed Asset Register	1. Review systems to ensure practices for routine reviews of the Fixed Asset Register and reconciliations are undertaken and maintained as required by documented procedures.	Medium	Manager Finance	Review of Finance Manual to be undertaken by EOM May 2021.	Provide evidence of reviews undertaken on the Fixed Asset Register.	01-May-21	Overdue	<p>2 Aug 2024 Implementation of asset inventory to Implementation of Assets to Mydata is being finalised. Once finalised new processes to be established for monthly reconciliations. ETA sept</p> <p>29 Jan 2024 by DCS Work is being done to make the MyData Asset Management System the Shire's sole Asset Register. I believe this item can be closed as is essentially a duplication of the Management Letter items from the 22/23 Audit in connection with the 22/23 Infrastructure Revaluation. By 30 June 2024 the Asset Register will have been completely reviewed and overhauled, including documentation on capitalisation, depreciation etc which are currently under development with consultants ACEAM.</p> <p>Progress Update as at 2 May 2022 Request for Quote 07-21 Shire Property Assessments has been awarded that incorporates data collection on all shire owned property in Tom Price, Paraburdoo and Onslow, which will be used to verify data contained within the Shire's fixed asset register. Additional asset classes will be programmed in future years. Fixed Asset Register reconciliations are completed monthly and reviewed by the Manager Finance and Administration, with the task have been incorporated in end of month financial checklist.</p>	<p>5 Aug 2024 BTP Comment: In Progress</p> <p>12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.</p>	In Progress
22-Apr-21	Moore Australia	Review of FMR	Fixed Asset Register	2. Enforce individual accountability for compliance with the Shire's documented procedures.	Medium	Manager Finance	Review of Finance Manual to be undertaken by EOM May 2021.	Awareness provided i.e. email communications etc to remind employees about Shire's documented procedures.	01-May-21	Overdue	<p>2 Aug 2024 Transition to Fixed Asset Register My Data being finalised. To be reconciled at 30 June 2024, then monthly thereafter. Responsibilities and process to be determined.</p> <p>29 Jan 2024 by Work is being done to make the MyData Asset Management System the Shire's sole Asset Register. I believe this item can be closed as is essentially a duplication of the Management Letter items from the 22/23 Audit in connection with the 22/23 Infrastructure Revaluation. By 30 June 2024 the Asset Register will have been completely reviewed and overhauled, including documentation on capitalisation, depreciation etc which are currently under development with consultants ACEAM.</p> <p>Progress Update as at 2 May 2022 Request for Quote 07-21 Shire Property Assessments has been awarded that incorporates data collection on all shire owned property in Tom Price, Paraburdoo and Onslow, which will be used to verify data contained within the Shire's fixed asset register. Additional asset classes will be programmed in future years. Fixed Asset Register reconciliations are completed monthly and reviewed by the Manager Finance and Administration, with the task have been incorporated in end of month financial checklist.</p>	<p>5 Aug 2024 BTP Comment: In Progress</p> <p>12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.</p>	In Progress
22-Apr-21	Moore Australia	Review of FMR	Debtors	3. Implement checklists to evidence preparation, review and monitoring of tasks as required by Finance Manual procedures. This will allow for management to routinely monitor compliance and to assist with ensuring procedural requirements are adhered to in a timely manner.	Medium	Manager Finance	Checklists to be implemented by EOM March 2021.	Examples of checklists implemented and completed.	01-Mar-21	Overdue	<p>2 Aug 2024 Draft checklist have been developed, pending 100% implimentation. End of Year and Audit Checklist developed and actioned.</p> <p>29 Jan 2024 by DSC What is required to close this one? Rates & Debtors Modules are being reconciled on a monthly basis?</p> <p>Progress update as at 2 May 2022 •Rates and Sundry Debtors reconciliations are completed monthly and reviewed by the Manager Finance and Administration, with the task have been incorporated in end of month financial checklist. •Incorporated into the EOM process and checklist is the provision to review end of month reconciliations and ensure the checklists has been completed prior to the preparation and finalization of the monthly financial statements.</p>	<p>5 Aug 2024 BTP Comment: In Progress</p> <p>12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.</p>	In Progress

SOA IA 2 Aug 2024

Shire of Ashburton

Current Review Date:													
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
22-Apr-21	Moore Australia	Procurement (21)	Documented Policies & Procedures	6. Documented Policies and Procedures Create checklists for tasks and controls noted within documented policies and procedures to assist with and to evidence compliance	High	Manager Finance	To be implemented by EOM May 2021.	Examples of checklists implemented and completed.	01-May-21	Overdue	2 Aug 2024 Some confusion on what is required. JB to provide original Audit to TD 29 Jan 2024 by DSC Is this a Finance or a Procurement Task. Very generic recommendation and believe this should be closed and focus maintained on any findings coming from Interim or Final Audit. Progress Update: Staff are currently reviewing new procurement systems to be implemented in 2021/202. The system implementation will incorporate the review and/or development of various council policies, processed and directives, that will be inbuilt into the system to ensure compliance. Additional review of transactions associated with Muzzy's is occurring with key stakeholders set to meet in the near future to resolved issues raised. <i>Status Ongoing</i>	5 Aug 2024 BTP Comment: In Progress SOA IA 29 Jan 2024 Refer to Process Owner and for Evidence/ Confirmation to close. 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Procurement (21)	Variations	18. Variations Update KCA 10 Purchasing, Creditors, Procurement and Payments to provide for current requirements in relation to variations and approvals.	High	Manager Finance	Recommendation to be implemented by June 2021 .	Provide updated KCA 10	01-Jun-21	Overdue	29 Jan 2024 by DCS More details required. I don't understand the recommendation Progress Update: The induction of new systems improvements will incorporate a complete review of the overall procurement process including the review of policies and directives as identified by the reviewer. A new procurement platform is currently being investigated which will include the ability to in-build shire requirements and reflect the shire's workflow for variations. Update – September 2021. Upgrade to Altus included in 2021-2022 budget, which may include upgrade to Altus procurement / Contract Management.	SOA IA 29 Jan 2024 Refer to Process Owner for Evidence/ Confirmation to close. 8 June 2022: Renae Lynch - This recommendation is the responsibility of the Finance Manager - Taryn Dayman.	In Progress
22-Apr-21	Moore Australia	Procurement (21)	Segregation of Duties	19 Segregation of Duties Review and update levels of permissions within the Shire's ERP to support segregation of duties	Medium	Manager Finance	Recommendation to be implemented by April 2021 .	Screen shots showing the level of permissions within the Shire's ERP.	01-Apr-21	Overdue	29 Jan 2024 I don't know what is required to close this out. EFTSURE has been implemented and Synergy permissions are being maintained Progress Update: New application, eftsure, is being acquired and will be implemented in July 2021. This new application incorporates payment protection, compliance monitoring and vendor onboarding by a third party. Implementation of new system will reduce the Shire's exposure to fraudulent activities as well as increasing the segregation of duties within the accounts payable team. Processes and procedures will be updated at the time of implementation, which will include a review of controls. Update – November 2021. Procurement to suitable solution has been complete, new system to be implemented in the new year. Update – February 2020. EFTSure is currently being implemented and due to go live in April 2022.	SOA IA 29 Jan 2024 Refer to Process Owner for Evidence/ Confirmation to close. 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Procurement (21)	Approval of Invoices	21. Approval of Invoices, Compliance with Policies and Procedures Consider the implementation of authorised checklists and / or workflow diagrams to assist with compliance and understanding of systems and processes to be followed.	Medium	Manager Finance	Recommendation noted	Provide examples of checklist created	No due date	Not Due	2 Aug 2024 No update provided SOA IA 29 Jan 2024 Refer to ARITAG – I don't think this is an issue. A new ERP would have improved workflow capabilities but in the meantime, controls within Synergy are considered adequate Progress Update: Continued monitoring of current practices to ensure compliance. Checklists and workflows will be inbuilt into the new procurement systems to ensure compliance and meeting of best practice.	5 Aug 2024 Everything is in place, checklist to be developed and provided SOA IA 29 Jan 2024 In Progress, Please refer to ARCITAG 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Awaiting Validation by IA
22-Apr-21	Moore Australia	Procurement (21)	Credit Cards	25. Credit Cards Ensure processes exist to maintain adherence to and detect any deviation from established documented procedures and controls.	Medium	Manager Finance	Recommendation to be implemented by April 2021 .	Provide evidence of process to aintain adherence to and detect any deviation from established documented procedures and controls	01-Apr-21	Overdue	2 Aug 2024 Training for CC system has been undertaken. Establishing documents and processes/controls. 29 Jan 2024 by DCS New Credit Card Expense Management system currently being implemented. Believe this items is outdated and should be closed. Progress Update: A review of credit card best practices currently in progress which may include the reduction of the number of card holders and the manner in which a credit card may be used. Corporate Credit Card conditions of use to be developed in line with updated policies, processes, and directives. Continued monitoring of practices to ensure compliance.	5 Aug 2024 BTP Comment: In Progress 29 JanSOA IA 29 Jan 2024 Inprogress 8 February 2023: Council Policy EMP24 Corporate Credit Card is currently under review. It is anticipated this policy will be submitted to Council in March 2023. 8 June 2022: Renae Lynch - This recommendation is the responsibility of the Finance Manager - Taryn Dayman.	In Progress

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Shire of Ashburton

Current Review Date:													
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
22-Apr-21	Moore Australia	Risk Management	Alignment to Strategic Plan & Business Plan	29. Alignment to Strategic Plan and Business Plan Consider and document current and emerging risks in the Strategic Community Plan 2017-2027 and the Corporate Business Plan and how effective risk management is in place.	Medium	Manager Governance	Recommendation noted	Provide updated Strategic Community Plan 2017-2027 and the Corporate Business Plan and how effective risk management is in place	No due date	Not Due	2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. The Strategic Community Plan and Corporate Business Plan will be updated upon completion of this project. 29 Jan 2024 Refer to ARITAG. Whole new risk management framework is to be implemented. This should be closed. SOA IA 21 Dec 2023 Strategic Risks are documented in the Strategic Community Plan and Corporate Business Plan. These will be further defined and updated in the plans as part of their reviews in 2024. SOA IA 25 Aug 2023 Risk Management considerations have been included in the Corporate Business Plan. 28 Feb 23: Strategic risks will be considered for inclusion in the Strategic Community Plan during its next review in 2024. A new Corporate Business Plan will be developed in the coming months.	5 Aug 2024 BTP comment: Evidence provide in support of update SOA IA 21 Dec 2023 Process owner clims as completed given the strategic risks are documented in SCP and CBP. However in veiw of recommendation and agreed action, it was not found adiqute documentation and actual proces how Strategic Risks are effectively manged. As such finding status remains unchange in progress. SOA IA 25 Aug 2023 In Progress 28 Feb 23: As per mgmt progress update. 12 December 2022: Updated SCP adopted by council, mentions risk identification but does not specify risks identified. CBP review has not yet commenced. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	Awaiting Validation by IA
22-Apr-21	Moore Australia	Risk Management	Council & Audit & Risk Mgmt Committee	30. Council and Audit and Risk Management Committee Review CORP5 Risk Management Policy to better define the responsibilities of the Council, the Audit & Risk Management Committee, management and other stakeholders.	Medium	Manager Governance	Recommendation to be implemented by EOM June 2021.	Provide updated CORP5 Risk Management Policy to show the responsibilities of the Council, the Audit & Risk Management Committee, management and other stakeholders.	01-Jun-21	Overdue	2 Aug 2024 New Risk Management Policy has been prepared. This will be presented to a Council briefing in August 2024 prior to being submitted to the Audit and Risk Management Committee and Council for adoption. 29 Jan 2024 Refer to ARITAG – Updated Risk Management Policy will form part of the risk management framework maturity body of work. SOA IA 21 Dec 2023 Consultant appointed. Initial meeting held 15 December 2023. 25 Oct 2023 Risk Management and Business Continuity RFQ closed on Friday, 13 October. The panel are currently reviewing the submissions. 25 Aug 2023 SOA IA A draft scope for RFQ has been prepared for the implementation of risk management at the Shire. 25 January 2023: Status update Council adopted the review of the Risk Management Policy on 13 December 2022 12 December 2022: Status update – Workshops were held with ELT and MMG, facilitated by LGIS, to review Policy CORP5 Risk Management. This is proposed to	5 Aug 2024 BTP comment: Evidence provide in support of update SOA IA 21 Dec 2023 Re mains in progress SOA IA 25 Oct 2023 In Progress 25 Aug 2023 SOA IA In Progress 31 January 2023: Risk Framework does not cover responsibilities of all relevant roles required. Have not received Policy. No status change. 25 January 2023: Elrich: We may need to review again but it only tells you the responsibility of the CEO 12 December 2022: Workshops held to review CORP5 Risk Mgmt - No evidence received. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	Awaiting Validation by IA
22-Apr-21	Moore Australia	Risk Management	Risk Management	32. Risk Management Annual Work Plan and Calendar Develop, approve, document, monitor and report on a risk management calendar and annual work plan, which identifies the risk management events that are scheduled to occur to ensure that all deadlines are met.	Low	Manager Governance	Recommendation to be implemented by EOM July 2021.	Provide annual workplan for risk management and training dates	01-Jul-21	Overdue	2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. An annual work plan will be developed as part of this project. 29 Jan 2024 Refer to ARITAG – Need to determine priority of this and where best this sits. For example Communities are currently advertising for a Grants Administration Person. The Shire receives significant grants funds but typically part of agreements with Miners under ESG obligations and are recurring. Finance have role in ensuring accurate monitoring of contract liability SOA IA 25 Aug 2023 A draft scope for RFQ has been prepared for the implementation of risk management at the Shire. 28 Feb 23: Annual Work Plan is currently being drafted for	5 Aug 2024 BTP Comment: Evidence provided in support of update SOA IA 25 Aug 2023 In Progress 28 Feb 23: As per mgmt progress update. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	Awaiting Validation by IA

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Shire of Ashburton

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Current Review Date:

Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
22-Apr-21	Moore Australia	Risk Management	Risk Management	33. Risk Management Annual Work Plan and Calendar Develop, approve, monitor and report on a risk management training calendar and perform induction and regular training for management, staff, contractors and volunteers. Ensure that the risk manager and risk owners have induction and regular training to ensure they understand their role and responsibility and better practice principles. This can be performed via online training and be integrated with other training performed by the Shire.	Low	Manager Governance	Recommendation to be implemented by EOM July 2021.	Provide annual workplan for risk management and training dates	01-Jul-21	Overdue	<p>2 Aug 2024 Risk management training was conducted in April 2024 with the Executive Leadership Team, Middle Management Group and selected key staff. Training will continue to be delivered throughout the risk management improvement project.</p> <p>29 Jan 2024 Refer to ARITAG – Need to determine priority of this and where best this sits. For example Communities are currently advertising for a Grants Administration Person. The Shire receives significant grants funds but typically part of agreements with Miners under ESG obligations and are recurring. Fin.ance have role in ensuring accurate monitoring of contract liability</p> <p>25 Aug 2023 A draft scope for RFQ has been prepared for the implementation of risk management at the Shire.</p> <p>28 Feb 23: Risk Management Training program is currently being</p>	<p>5 Aug 2024 BTP Comment: Training was provided and a recorded video made available to those who were absent.</p> <p>SOA IA 25 Aug 2023 In Progress</p> <p>28 Feb 23: As per client progress update.</p>	Awaiting Validation by IA
22-Apr-21	Moore Australia	Risk Management	Risk Register	36. Risk Register Create, implement and maintain an organisational Risk Register and consider: - overlap, duplication and risk owners, shared risks and whether a residual risk falls within or outside the Shire's risk appetite- where business units risk registers can be used as ab effective risk management tool- more regular reviews of risks more than annually regular assessment of the shared risks and the impact on the Shire, - the risk management categories to ensure they are appropriate to assist with risk identification and management, -application of professional judgement in assessment of effectiveness of controls in line with documented systems and controls	High	Manager Governance	Risk Register to be reviewed subject to consultant availability	Provide implemented organisational Risk Register	No due date	Not Due	<p>2 Aug 2024 Workshops were held in July and August 2024 with the Executive Leadership Team, Middle Management Group and selected key staff, to identify enterprise (operational) risks. Further workshops will be held to complete the Enterprise Risk Register.</p> <p>29 Jan 2024 by DCS Refer to ARITAG – Need to determine priority of this and where best this sits. For example Communities are currently advertising for a Grants Administration Person. The Shire receives significant grants funds but typically part of agreements with Miners under ESG obligations and are recurring. Fin.ance have role in ensuring accurate monitoring of contract liability</p> <p>25 Aug 2023 A draft scope for RFQ has been prepared for the implementation of risk management at the Shire.</p> <p>12 December 2022: Status update – Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. The Operational Risk Register is currently being reviewed by staff and will be submitted to ELT for endorsement in the near future.</p> <p>Progress Update: Updating of the operation risk register and implementing strategic risk register to commence on the appointment of the new Audit and Governance position Update – September 2024</p>	<p>5 Aug 2024 BTP Comment: In Progress - ELT need to consider risk appetite and its application across the Shire's risk registers</p> <p>SOA IA 25 Aug 2023 In Progress</p> <p>12 December 2022: Status update – Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. The Operational Risk Register is currently being reviewed by staff and will be submitted to ELT for endorsement in the near future - no evidence received.</p> <p>12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.</p>	In Progress
22-Apr-21	Moore Australia	Risk Management	Risk Appetite, Risk Tolerance Statements & Treatment	37. Risk Appetite, Risk Tolerance Statements and Treatment Action Plans Develop, approve, monitor and report on a risk appetite, risk tolerance and treatment action plans and then consider these within documented risk management practices. Consider the effectiveness of controls to ensure that treatment action plans are not required to reduce risk to within risk appetite.	High	Manager Governance	Risk Register to be reviewed subject to consultant availability	Provide risk appetite, risk tolerance and treatment action plan	No due date	Not Due	<p>2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. Risk appetite, tolerance and treatment actions plans will be considered as part of this project.</p> <p>SOA IA 25 Aug 2023 A draft scope for RFQ has been prepared for the implementation of risk management at the Shire.</p> <p>28 Feb 23: Risk Appetite Statements currently being drafted based on risk categories.</p>	<p>5 Aug 2024 BTP Comment: In progress</p> <p>SOA IA 25 Aug 2023 In Progress</p> <p>28 Feb 23: As per client progress update.</p> <p>12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. These documents are currently being reviewed by staff and are proposed to be presented to the Audit and Risk Management Committee in February 2023 - no evidence received.</p> <p>12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the</p>	In Progress

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Shire of Ashburton

IA			Current Review Date:										
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
22-Apr-21	Moore Australia	Risk Management	Risk Management Strategy	38. Risk Management Strategy Develop, a risk management strategy and review this at least on an annual basis or when material risks are identified.	Medium	Manager Governance	Risk Register to be reviewed subject to consultant availability	Provide risk management strategy	No due date	Not Due	2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. Development of a risk assessment tool for projects/events will be considered as part of this project. SOA IA 25 Aug 2023 A draft scope for RFQ has been prepared for the implementation of risk management at the Shire. 12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. These documents are currently being reviewed by staff and are proposed to be presented to the Audit and Risk Management Committee in February 2023 - no evidence received. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation. Progress Update: This will be addressed on the appointment of the new Audit and Governance position. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence.	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Aug 2023 In Progress 12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. These documents are currently being reviewed by staff and are proposed to be presented to the Audit and Risk Management Committee in February 2023 - no evidence received. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Risk Management	Special Activities & Project Risks	39. Special Activities and Project Risks Develop an approved risk assessment tool for special projects and activities which are being considered to be undertaken	High	Manager Governance	Risk Register to be reviewed subject to consultant availability	Provide risk assessment tool for special projects and activities	No due date	Not Due	2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. Development of a risk assessment tool for projects/events will be considered as part of this project. SOA IA 25 Aug 2023 A draft scope for RFQ has been prepared for the implementation of risk management at the Shire. 25 January 2023: LGIS has developed a risk assessment tool for the Shire (attached) which can be adapted and used for events and projects. This will be circulated to staff in the first quarter of 2023. 12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS. As part of this work LGIS has developed a tool for the Shire to assess risks. This will be implemented following Council's adoption of the documents mentioned above. Progress Update: This will be addressed on the appointment of the new Audit and Governance position. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence.	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Aug 2023 In Progress 31 January 2023: Tool provided is for the Shire's Risk Profile and cannot be used for individual risk assessments. Proposed to revert status to In Progress. 25 January 2023: We have received the tool 12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS. As part of this work LGIS has developed a tool for the Shire to assess risks. This will be implemented following Council's adoption of the documents mentioned above - no evidence received. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Risk Management	Embedded Risk Management	40. Embedded Risk Management Consider and document how the risk management is integrated and embedded within Shire processes. Strategies that can be considered include risk champions, workshops with management and staff.	High	Manager Governance	Risk Register to be reviewed subject to consultant availability	Provide evidence on how the risk management is integrated and embedded within Shire processes.	No due date	Not Due	2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. This will be considered as part of this project. 25 Aug 2023 SOA IA A draft scope for RFQ has been prepared for the implementation of risk management at the Shire. Progress Update: This will be addressed on the appointment of the new Audit and Governance position. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence.	5 Aug 2025 BTP Comment: In Progress 25 Aug 2023 SOA IA In Progress 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Risk Management	Audit & Risk Management Committee	41. Audit and Risk Management Committee Include a summary of the risk management activities as an agenda paper for Audit & Risk Management Committee meetings.	Medium	Manager Governance	Recommendation to be implemented by EOM September 2021.	Provide examples of a summary of the risk management activities on the agenda paper for Audit & Risk Management Committee meetings	01-Sep-21	Overdue	2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. Development of regular reporting will be considered as part of this project. SOA IA 25 Aug 2023 A draft scope for RFQ has been prepared for the implementation of risk management at the Shire. 28 Feb 23: Reporting requirements are being considered as part of the Risk Management Framework review.	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Aug 2023 In Progress 28 Feb 23: As per client progress update. Client wishes to discuss with Moore. In Progress	In Progress
22-Apr-21	Moore Australia	Risk Management	Executive Leadership Team	42. Executive Leadership Team Include a summary of the risk management activities as an agenda paper for Executive Leadership Team meetings.	Medium	Manager Governance	Recommendation to be implemented by EOM April 2021.	Provide examples of a summary of the risk management activities on the agenda paper for ELT meetings	01-Apr-21	Overdue	2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. Development of regular reporting will be considered as part of this project. SOA IA 25 Aug 2023 A draft scope for RFQ has been prepared for the implementation of risk management at the Shire. 28 Feb 23: Reporting requirements are being considered as part of the Risk Management Framework review.	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Aug 2023 In Progress 28 Feb 23: As per client progress update. In Progress	In Progress

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Shire of Ashburton

IA			Current Review Date:										
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
22-Apr-21	Moore Australia	Risk Management	Compliance with Legislative Requirements	43. Compliance with Legislative Requirements Develop and implement a risk management framework / strategy and supporting systems and procedures aligned to the current risk Management Standard, ISO 31000:2018.	Medium	Manager Governance	Recommendation to be implemented	Provide risk management framework and supporting policies and procedures	No due date	Not Due	2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. This will be considered as part of this project. SOA IA 25 Aug 2023 A draft scope for RFQ has been prepared for the implementation of risk management at the Shire. 25 January 2023: LGIS has reviewed the Shire's current Risk Management Framework (attached). This will be circulated to staff for comment in the first quarter of 2023. This will be submitted to the Audit and Risk Committee for endorsement once finalised. 12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. These documents are currently being reviewed by staff and are proposed to be presented to the Audit and Risk Management Committee in February 2023. Progress Update: Risk management framework / strategies, systems and procedures to be reviewed against and aligned with new standards, to be carried out by the new Audit and Governance Officer. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence	5 Aug 2024 BTP comment: In Progress SOA IA 25 Aug 2023 In Progress 31 January 2023: Framework received accounts for ISO standard, yet to received Risk Management Policy. No status change. 12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. These documents are currently being reviewed by staff and are proposed to be presented to the Audit and Risk Management Committee in February 2023 - no evidence received. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Risk Management	Staff Adherence and Audits	44. Staff Adherence and Audits Perform regular external or internal independent assessment of Risk Management to identify improvement opportunities.	Medium	Manager Governance	Recommendation to be implemented	Provide examples for risk assessments undertaken	No due date	Not Due	2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. This will be considered as part of this project. 25 Aug 2023 SOA IA Not Started 28 Feb 23: Risk Management review is required to be undertaken every three years in accordance with the Local Government (Audit) Regulations 1996. The next review is due to be conducted in 2023.	5 Aug 2024 BTP Comment: Not Started 25 Aug 2023 SOA IA Not Started 28 Feb 23: As per client progress update.	Not Started
22-Apr-21	Moore Australia	Risk Management	Performance Indicators	45. Performance Indicators Develop, approve, document, monitor and report risk management performance indicators or measures to allow expected performance and actual performance to be compared.	Low	Manager Governance	Recommendation to be implemented	Provide copy of KPI for risk management	No due date	Not Due	2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. This will be considered as part of this project. SOA IA 25 Aug 2023 Not Started Progress Update: To be incorporated as part of the above and coordinated by the new Audit and Governance Officer and development of a new system. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence	5 Aug 2024 BTP Comment: Not Started SOA IA 25 Aug 2023 Not Started 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	Not Started
22-Apr-21	Moore Australia	Risk Management	Survey of Risk Owners, Management, Staff, Contractors & Volunteers	46. Survey of Risk Owners, Management, Staff, Contractors and Volunteers Survey a selection of risk owners, management, staff, contractors and/ or volunteers to identify continuous improvement opportunities.	Low	Manager Governance	Recommendation to be implemented	Provide copy of survey undertaken.	No due date	Not Due	2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. This will be considered as part of this project. SOA IA 25 Aug 2023 Not Started Progress Update: To be incorporated as part of the above and coordinated by the new Audit and Governance Officer and development of a new system. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	Not Started
22-Apr-21	Moore Australia	Grants Management	Application of Grants	47. Application of Grants Improve systems and controls through establishing set criterion to support decision making and authorisation for grant applications□	Medium	Manager Finance	Recommendations noted	Provide set criterion for Grants	No due date	Not Due	2 Aug 2024 No update provided 29 Jan 2024 by DCS Refer to ARITAG – Need to determine priority of this and where best this sits. For example Communities are currently advertising for a Grants Administration Person. The Shire receives significant grants funds but typically part of agreements with Miners under ESG obligations and are recurring. Finance have role in ensuring accurate monitoring of contract liability Progress Update: Workflow to be developed that ensures that grant applications are assessed against council's priorities and integrated planning documents prior to submission. Grant Register to be expanded to incorporate the requirements of funding and monitor	5 Aug 2024 BTP Comment: Not started 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started

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Shire of Ashburton

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Current Review Date:

Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
22-Apr-21	Moore Australia	Grants Management	Application of Grants	48. Application of Grants Enforce individual accountability for compliance with the Shire's documented procedures	Medium	Manager Finance	Recommendations noted	Awareness provided i.e. email communications etc to remind employees about Shire's documented procedures.	No due date	Not Due	2 Aug 2024 No update provided Progress Update: Workflow to be developed that ensures that grant applications are assessed against council's priorities and integrated planning documents prior to submission. Grant Register to be expanded to incorporate the requirements of funding and monitor compliance and ensure best practice is met	5 Aug 2024 BTP Comment: Not started 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started
22-Apr-21	Moore Australia	Grants Management	Acquittal of Grants	49. Acquittal of Grants Review documented procedures to include clearer requirements to support grant acquittals to assist with a higher level review for the timely completion and submission of acquittals and audits.	Medium	Manager Finance	Recommendations noted	Provide updated Grants procedures	No due date	Not Due	2 Aug 2024 No update provided Progress Update: Development of suitable reporting system to collate and monitor funding performance data which is reported regularly to each department for review and/or action to be delivered in the new financial year.	5 Aug 2024 BTP Comment: Not started 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started
22-Apr-21	Moore Australia	Grants Management	Acquittal of Grants	50. Acquittal of Grants Establish authorised checklists to be completed by each department managing grants to evidence the routine review of grants and the provision of any required information as required by internal policies and procedures.	Medium	Manager Finance	Recommendations noted	Provide examples of checklists completed.	No due date	Not Due	2 Aug 2024 No update provided Progress Update: Development of suitable reporting system to collate and monitor funding performance data which is reported regularly to each department for review and/or action to be delivered in the new financial year.	5 Aug 2024 BTP Comment: Not started 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started
22-Apr-21	Moore Australia	Grants Management	Compliance with Grant Conditions	51. Compliance with Grant Conditions Create a grants matrix to allow higher level analysis and review of compliance with grant conditions and clauses.	Medium	Manager Finance	Recommendations noted	Provide Grant matrix	No due date	Not Due	2 Aug 2024 No update provided Progress Update: To be incorporated into the reporting system – as above.	5 Aug 2024 BTP Comment: Not started 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started
22-Apr-21	Moore Australia	Grants Management	Compliance with Grant Conditions	52. Compliance with Grant Conditions In addition to the recording of compliance for grant programs, establish a register to maintain records of compliance and non-compliance.	Medium	Manager Finance	Recommendations noted	Provide copy of Grants Compliance Register	No due date	Not Due	2 Aug 2024 No update provided Progress Update: To be incorporated into the reporting system – as above.	5 Aug 2024 BTP Comment: Not started 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started
22-Apr-21	Moore Australia	Grants Management	Governance	53. Update internal resource library (intranet) to maintain live documents as required by documented procedures.	Low	Manager Governance	Recommendations noted	Provide screenshots of intranet with live documents as Grants procedures	No due date	Not Due	2 Aug 2024 The development of grant procedures sits with Finance. Please reallocate to Manager, Finance. Progress Update: To be incorporated into the reporting system – as above.	5 Aug 2024 BTP Comment: Recommend transfer of ownership discussion at ARCI TAG 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	Not Started
22-Apr-21	Moore Australia	Grants Management	Governance	54. Governance Clarify KCA 3 Grants to define expected compliance requirements and create support documents as required to facilitate compliance.	Low	Manager Finance	Recommendations noted	Provide updated KCA 3 with updated compliance requirements	No due date	Not Due	2 Aug 2024 No update provided Progress Update: To be incorporated into the reporting system – as above.	5 Aug 2024 BTP Comment: Not started 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started
22-Apr-21	Moore Australia	Grants Management	Governance	55. Enforce individual accountability with documented procedures.	Low	Manager Governance	Recommendations noted	Awareness provided i.e. email communications etc to remind employees about Shire's documented procedures.	No due date	Not Due	2 Aug 2024 The development of grant procedures sits with Finance. Please reallocate to Manager Finance. Progress Update: To be incorporated into the reporting system – as above.	5 Aug 2024 BTP Comment: Recommend transfer of ownership discussion at ARCI TAG 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	Not Started
22-Apr-21	Moore Australia	Grants Management	Governance	56 Governance Undertake an evaluation of current grant programs to identify non-compliant grants and action as required.	Low	Manager Finance	Recommendations noted	Provide evidence of evaluation undertaken	No due date	Not Due	2 Aug 2024 No update provided Progress Update: To be incorporated into the reporting system – as above.	5 Aug 2024 BTP Comment: Not sure when due date might be. Not started 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started
22-Apr-21	Moore Australia	Records Management	Language Control	64.Language Control Review, improve and update the systems and controls for language control within record keeping systems.	High	Manager Governance	Recommendation to be initiated by EOM April 2021.	Provide evidence on how the Shire ensure language control in systems	01-Apr-21	Overdue	2 Aug 2024 New Records User Guide created November 2023. Record naming conventions are detailed in 'Short title/contents' section of the guide. A link to the Guide is provided to staff as part of their records induction. SOA IA 25 Aug 2023 A directive/procedure will be developed in Q4 of 2023/2024. Records projects have been prioritised to ensure readiness for relocation to an alternative location whilst the new Administration Building is being built. 28 Feb 23: Improvements/standardised naming conventions are being implemented across the Shire's records management system. A documented approach will be considered in preparation for the implementation of a	5 Aug 2024 BTP Comment Evidence provided in support of update Recommend this item be closed SOA IA 25 Aug 2023 In Progress 28 Feb 23: As per client progress update. In Progress	Awaiting Validation by IA

SOA IA 2 Aug 2024

Shire of Ashburton

Current Review Date:													
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
22-Apr-21	Moore Australia	Records Management	Language Control	65. Language Control Consider review of historic records to identify any high risk considerations which require examination and updates for compliance with approved record keeping practices.	High	Manager Governance	Recommendation to be initiated by EOM April 2021.	Did the Shire review this? Provide evidence	01-Apr-21	Overdue	<p>2 Aug 2024 Records staff are updating historic records as they are identified. A full review of all records in Synergy is progressively being undertaken as part of our rolling records disposal program.</p> <p>SOA IA 25 Aug 2023 This project will take approximately 2 years to complete.</p> <p>28 Feb 23: A review of historic records is currently being undertaken. As part of this review, naming conventions are being standardised to allow for documents to be easily located.</p>	<p>5 Aug 2024 BTP Comment: In Progress</p> <p>SOA IA 25 Aug 2023 In Progress</p> <p>28 Feb 23: As per client progress update. In Progress</p>	In Progress
22-Apr-21	Moore Australia	Records Management	Training	69. Training Test backup procedures, usability and readability of backup tapes/discs on a regular basis.	Medium	Manager ICT	Recommendations noted	Provide test backup procedures	No due date	Not Due	<p>2 Aug 2024 SynergySoft is backed up daily through standard IT process</p> <p>29 Jan 2024 Refer to ARITAG – backup tests are being performed as part of IT disaster recovery processes. Don't understand why this is an outstanding item.</p> <p>Progress update as at: Corporate Services to arrange via their external ICT or other consulting providers</p> <p>Progress Update: The proposed new system is backed up in accordance with industry best practices standards. Regular testing to take place one system is operational, in line with the Shire's Record Keeping Plan.</p>	<p>5 Aug 2024 BTP comment: Evidence is available for verification by IA on arrival.</p> <p>25 July 2023 SOA IA - No progress update 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.</p>	Awaiting Validation by IA
22-Apr-21	Moore Australia	Records Management	Key Performance Indicators	70. Key Performance Indicators Refine and develop criteria to assess the performance of the recordkeeping program.	Medium	Manager Governance	Recommendation to be initiated by EOM April 2021.	Provide riteria to assess the performance of the recordkeeping program	01-Apr-21	Overdue	<p>2 Aug 2024 No update</p> <p>29 Jan 2024 Refer to ARITAG – it is recognised that major work needs to be done to improve record keeping. KPI's are unnecessary at this point until a better system is in place</p> <p>SOA IA 25 Aug 2023 The Shire has not implemented coordinated performance monitoring and reporting at this stage. As the organisation matures and more processes are put in place, this will be implemented.</p> <p>Progress Update: Collection and review of statistics will commence on the implementation of the new EDRSM and will form part of the Shire's performance management platform and written into the Shire's revised Record Keeping Plan</p>	<p>5 Aug 2024 BTP Comment: Not started</p> <p>SOA IA 25 Aug 2023 Not Started</p> <p>12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.</p>	Not Started
22-Apr-21	Moore Australia	Records Management	Key Performance Indicators	71. Key Performance Indicators Implement a survey mechanism to measure levels of staff satisfaction with recordkeeping operations.	Medium	Manager Governance	Recommendation to be initiated by EOM April 2021.	Provide evidence of survey completed	01-Apr-21	Overdue	<p>2 Aug 2024 No update</p> <p>SOA IA 25 Aug 2023 A survey will be considered at a later date. Records projects have been prioritised to ensure readiness for relocation to an alternative location whilst the new Administration Building is being built.</p> <p>Progress Update: Collection and review of statistics will commence on the implementation of the new EDRSM and will form part of the Shire's performance management platform and written into the Shire's revised Record Keeping Plan</p>	<p>5 Aug 2024 BTP Comment: Not started</p> <p>SOA IA 25 Aug 2023 Not Started</p> <p>12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.</p>	Not Started
15-Jul-22	Moore Australia	Records Management 22	Systems access and records classification	Develop a document or register that classifies key records by access or confidential level and the associated security classification	Medium	Manager Governance	Agreed	Provide register that classifies key records or confidential level and the associated security classification	30-Jun-23	Overdue	<p>2 Aug 2024 A register of all internal correspondents/users detailing their security access levels according to their position has been developed and is being maintained and updated whenever changes occur. Classification of records is done at the parent file level.</p> <p>29 Jan 2024 Refer to ARITAG – This will be delivered if the Shire proceeds with the implementation of the Information Architecture that is currently being developed.</p> <p>SOA IA 25 Aug 2023 A directive/procedure will be developed in Q3 of 2023/2024. Records projects have been prioritised to ensure readiness for relocation to an alternative location whilst the new Administration Building is being</p>	<p>5 Aug 2024 BTP Comment: Evidence provided as part of update Awaiting verification by IA prior to closure</p> <p>SOA IA 25 Aug 2023 Not Started</p>	Not Started

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Shire of Ashburton

IA			Current Review Date:										
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
15-Jul-22	Moore Australia	Records Management 22	Systems access and records classification	Ensure that the document is approved by the CEO or the relevant delegated authority	Medium	Manager Governance	Agreed	Referring to item 84. Was it approved by the CEO? Evidence	30-Jun-23	Overdue	2 Aug 2024 The register is managed by the Records and Customer Service Coordinator and Senior Records Officer. Access is determined according to positions and the requirements of their supervisors. 29 Jan 2024 Refer to ARITAG – CEO will signoff Information Architecture once developed SOA IA 25 Aug 2023 A directive/procedure will be developed in Q3 of 2023/2024. Records projects have been prioritised to ensure readiness for relocation to an alternative location whilst the new Administration Building is being built. 31 Ocotber 2022: A review of the Shire's Recordkeeping Plan has commenced. This will be included in this review. It is anticipated the review will	5 Aug 2024 BTP Comment: Evidence provided as part of update Awaiting verification by IA prior to closure SOA IA 25 Aug 2023 In Progress	Awaiting Validation by IA
15-Jul-22	Moore Australia	Records Management 22	Systems access and records classification	Communicate to relevant staff	Medium	Manager Governance	Agreed	Referring to item 84. Awareness provided i.e. email communications etc to remind employees about Shire's documented procedures.	30-Jun-23	Overdue	2 Aug 2024 The register is part of the Records team procedurs. SOA IA 25 Aug 2023 A directive/procedure will be developed in Q3 of 2023/2024. Records projects have been prioritised to ensure readiness for relocation to an alternative location whilst the new Administration Building is being built.	5 Aug 2024 BTP Comment: This is disclosed within in the document. Awaiting verification by IA prior to closure SOA IA 25 Aug 2023 Not Started	Awaiting Validation by IA
15-Jul-22	Moore Australia	Records Management 22	Systems access and records classification	Ensure that records are classified as per the approved document.	Medium	Manager Governance	Agreed	Referring to item 84. Provide evidence to show classification.	30-Jun-23	Overdue	2 Aug 2024 Records inherit their security rating from the parent file they are recorded to. SOA IA 25 Aug 2023 A directive/procedure will be developed in Q3 of 2023/2024. Records projects have been prioritised to ensure readiness for relocation to an alternative location whilst the new Administration Building is being built.	5 Aug 2024 BTP Comment: This is recorded within SynergySoft. Recommended for Closure following verification by IA SOA IA 25 Aug 2023 Not Started	Awaiting Validation by IA
15-Jul-22	Moore Australia	Records Management 22	Management Reporting on the Shire's Records Management Practices	Develop KPI's for monitoring compliance and performance of the records and information management function	Medium	Manager Governance	Agreed	Provide KPI's for compliance and performance	30-Jun-23	Overdue	2 Aug 2024 No update 29 Jan 2024 Refer to ARITAG – it is recognised that major work needs to be done to improve record keeping. KPI's are unnecessary at this point until a better system is in place SOA IA 25 Aug 2023 Not Started	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
15-Jul-22	Moore Australia	Records Management 22	Management Reporting on the Shire's Records Management Practices	Ensure KPI's are approved by the Executive or relevant delegated authority	Medium	Manager Governance	Agreed	Was it approved by ELT member or delegated authority	30-Jun-23	Overdue	2 Aug 2024 No update SOA IA 25 Aug 2023 Not Started	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
15-Jul-22	Moore Australia	Records Management 22	Management Reporting on the Shire's Records Management Practices	Have a standard agenda item on a regular basis to discuss records management matters; and	Medium	Manager Governance	Agreed	Provide example of agenda paper where records management was discussed.	30-Jun-23	Overdue	2 Aug 2024 No update SOA IA 25 Aug 2023 Not Started	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
15-Jul-22	Moore Australia	Records Management 22	Management Reporting on the Shire's Records Management Practices	Regularly report to the Executive and Audit and Risk Committee level	Medium	Manager Governance	Agreed	Examples of reports to ELT and ARC.	30-Jun-23	Overdue	2 Aug 2024 No update SOA IA 25 Aug 2023 Not Started	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
15-Jul-22	Moore Australia	Records Management 22	Compliance Monitoring and Evaluation	Determine the frequency and method of monitoring compliance	Medium	Manager Governance	Agreed	How does the Shire monitor compliance of records management	30-Jun-23	Overdue	2 Aug 2024 The Shire conducted a self-evaluation as part of the review of the Recordkeeping Plan in May 2023. The Records team maintain a spreadsheet of identified improvements and update accordingly. State Records have set the next review as May 2028. SOA IA 25 Aug 2023 The Shire has introduced the Attain Compliance Calendar which documents various legislative requirements across multiple pieces of legislation. Tasks are allocated to the appropriate officer. The officer is required to evidence their compliance in the system. Quarterly reporting of outstanding compliance calendar tasks will be reported to ELT commencing in October 2023. Please note: compliance matters are reported to the Audit and Risk Management Committee as part of the DLGSC annual Compliance Audit Return (CAR). Currently outside of the CAR, no other legislative compliance reporting is presented to the Audit and Risk Management Committee. This will be investigated at a later date.	5 Aug 2024 BTP Comment: Awaiting verification by IA prior to closure SOA IA 25 Aug 2023 Transferred to In Progress	Awaiting Validation by IA

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Shire of Ashburton

Current Review Date:													
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
15-Jul-22	Moore Australia	Records Management 22	Compliance Monitoring and Evaluation	Regularly monitor; and report to executive and the Audit and Risk Committee the outcomes.	Medium	Manager Governance	Agreed	Examples of reports to ELT and ARC.	30-Jun-23	Overdue	2 Aug 2024 Not required. This is reported to the Manager Governance on a regular basis. SOA IA 25 Aug 2023 The Shire has introduced the Attain Compliance Calendar which documents various legislative requirements across multiple pieces of legislation. Tasks are allocated to the appropriate officer. The officer is required to evidence their compliance in the system. Quarterly reporting of outstanding compliance calendar tasks will be reported to ELT commencing in October 2023. Please note: compliance matters are reported to the Audit and Risk Management Committee as part of the DLGSC annual Compliance Audit Return (CAR). Currently outside of the CAR, no other legislative compliance reporting is presented to the Audit and Risk Management Committee. This will be investigated at a	5 Aug 2024 BTP Comment: Awaiting verification by IA prior to closure SOA IA 25 Aug 2023 Transferred to In Progress	Awaiting Validation by IA
15-Jul-22	Moore Australia	Records Management 22	Records Emergency Management Plan	Review the Records Emergency Management Plan	Medium	Manager Governance	Agreed	Provide update of Records Emergency Management Plan	31-Dec-23	Overdue	2 Aug 2024 The Shire has introduced a digitisation program of permanent records. This will reduce the Shire's exposure to risk of damage or loss of hardcopy records. Digital records are back up through standard IT processes as detailed in the Shire's Recordkeeping Plan. State Records Office does not require a separate Records Emergency Management Plan. SOA IA 25 Aug 2023 The Records Emergency Management Plan reviewed will be finalised in Q2 of 2023/2024. Records projects have been prioritised to ensure readiness for relocation to an alternative location whilst the new Administration Building is being built. 12 December 2022: The review of the Records Emergency Management Plan has commenced and is being undertaken in conjunction with the Recordkeeping Plan review. It is proposed these documents will be presented to the State Records Office by 31 December 2022. 31 October 2022: A review of the Shire's Recordkeeping Plan has commenced. This will be included in this review. It is anticipated the review will	5 Aug 2024 BTP Comment: Awaiting verification by IA prior to closure SOA IA 25 Aug 2023 In Progress 12 December 2022: The review of the Records Emergency Management Plan has commenced and is being undertaken in conjunction with the Recordkeeping Plan review. It is proposed these documents will be presented to the State Records Office by 31 December 2022 - no evidence received.	Awaiting Validation by IA
15-Jul-22	Moore Australia	Records Management 22	Records Emergency Management Plan	Ensure it is approved by the CEO and the relevant delegated authority	Medium	Manager Governance	Agreed	Was it approved by CEO	31-Dec-23	Overdue	2 Aug 2024 The Shire has introduced a digitisation program of permanent records. This will reduce the Shire's exposure to risk of damage or loss of hardcopy records. Digital records are back up through standard IT processes as detailed in the Shire's Recordkeeping Plan. State Records Office does not require a separate Records Emergency Management Plan. SOA IA 25 Aug 2023 The Records Emergency Management Plan reviewed will be finalised in Q2 of 2023/2024. Records projects have been prioritised to ensure readiness for relocation to an alternative location whilst the new Administration Building is being built. 31 October 2022: A review of the Shire's Recordkeeping Plan has commenced. This will be included in this review. It is anticipated the review will	5 Aug 2024 BTP Comment: Awaiting verification by IA prior to closure SOA IA 25 Aug 2023 In Progress	Awaiting Validation by IA
15-Jul-22	Moore Australia	Records Management 22	Records Emergency Management Plan	Made available to all staff.	Medium	Manager Governance	Agreed	Provided to staff? How? Email, Intranet, through learning. Provide examples.	31-Dec-23	Overdue	2 Aug 2024 The Shire has introduced a digitisation program of permanent records. This will reduce the Shire's exposure to risk of damage or loss of hardcopy records. Digital records are back up through standard IT processes as detailed in the Shire's Recordkeeping Plan. State Records Office does not require a separate Records Emergency Management Plan SOA IA 25 Aug 2023 The Records Emergency Management Plan reviewed will be finalised in Q2 of 2023/2024. Records projects have been prioritised to ensure readiness for relocation to an alternative location whilst the new Administration	5 Aug 2024 BTP Comment: Awaiting verification by IA prior to closure SOA IA 25 Aug 2023 Transferred to In Progress	Awaiting Validation by IA

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Shire of Ashburton

IA			Current Review Date:										
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
01-Nov-22	Moore Australia	Cyber Security	Cyber Security Framework and Supporting Operational Procedures	Establish a Cybersecurity Framework and supporting procedures that align with the WA Government Cybersecurity Policy and the Australian Government Information Security Manual	High	Manager ICT	Agreed. Develop a Cybersecurity Framework and supporting procedures that align with the WA Government Cybersecurity Policy and the Australian Government Information Security Manual	Develop a Cybersecurity Framework and supporting procedures that align with the WA Government Cybersecurity Policy and the Australian Government Information Security Manual	31-Dec-22	Overdue	2 Aug 2024 The Shire does not see it viable to recreate a cybersecurity policy that is readily available for use from the ACSC, the Shire has now entered a partnership with the ACSC and currently has a directive in place that ensures alignment with the ACSC cybersecurity framework and procedures in place that is guided by this framework.(attached Signed Cyber Security Deed Poll, Directive – Information Security, SoA Data Breach Procedure, SOA Security Incident Handling Procedure, Directive – Acceptable Use) 29 Jan 2024 by DSC Refer to ARITAG – Significant work has and is being done in this space. ITGC Management Letter items which are aligned to the Essential 8 framework are being put in place that should address all the Moore items. Nessus Pro network scanning system is currently being implemented and Avantgarde Technologies are about to do a complete ICT Current State Audit which will prioritise cyber related actions.	5 Aug 2024 BTP Comment: Per comments provided by ICT Manager. Evidence provided by ICT Manager. Recommended for closure upon verification by IA 25 July 2023 SOA IA - No progress update 8 February 2023: Cybersecurity Framework is currently being drafted.	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Cyber Security Framework and Supporting Operational Procedures	Ensure the Cyber Security Framework and supporting operating procedures are approved by the CEO, Executive Leadership Team or the relevant delegated authority	High	Manager ICT	Agreed. Have the Cybersecurity Framework endorsed by the ICT Working group and Executive Leadership Team	Have the Cybersecurity Framework endorsed by the ICT Working group and Executive Leadership Team	31-Jan-23	Overdue	2 Aug 2024 - refer #105	5 Aug 2024 Awaiting verification by IA prior to closure T 25 July 2023 SOA IA - No progress update 8 February 2023: Cybersecurity Framework is currently being drafted.	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Cyber Security Framework and Supporting Operational Procedures	Ensure the Cyber Security Framework and supporting operating procedures are approved by the CEO, Executive Leadership Team or the relevant delegated authority	High	Manager ICT	Agreed. Have the supporting operating procedures approved by the Director Corporate Services	Have the supporting operating procedures approved by the Director Corporate Services	28-Feb-23	Overdue	2 Aug 2024 - refer #105	5 Aug 2024 Awaiting verification by IA prior to closure 25 July 2023 SOA IA - No progress update 8 February 2023: Cybersecurity Framework is currently being drafted.	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Cyber Security Framework and Supporting Operational Procedures	Communicate the framework and supporting operating procedures to all staff within the organisation	High	Manager ICT	Agreed. Communicate the framework and supporting operating procedures to all staff within the organisation;	Communicate the framework and supporting operating procedures to all staff within the organisation;	31-Mar-23	Overdue	2 Aug 2024 - refer #105	5 Aug 2024 Awaiting verification by IA prior to closure 25 July 2023 SOA IA - No progress update 8 February 2023: Cybersecurity Framework is currently being drafted.	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Cyber Security Framework and Supporting Operational Procedures	Copies of the framework and operating procedures be made available and easily accessible to staff and relevant contractors at induction and ongoing basis	High	Manager ICT	Agreed. Copies of the framework and operating procedures be made available and easily accessible to staff and relevant contractors at induction and ongoing basis;	Copies of the framework and operating procedures be made available and easily accessible to staff and relevant contractors at induction and ongoing basis;	31-Mar-23	Overdue	2 Aug 2024 - refer #105	5 Aug 2024 Awaiting verification by IA prior to closure 25 July 2023 SOA IA - No progress update 8 February 2023: Cybersecurity Framework is currently being drafted.	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Cyber Security Framework and Supporting Operational Procedures	Establish a program of reviewing framework and operating procedures at a minimum every two years	High	Manager ICT	Agreed. Establish a program of reviewing framework and operating procedures at a minimum every two years.	Establish a program of reviewing framework and operating procedures at a minimum every two years.	31-Jan-23	Overdue	2 Aug 2024 - refer #105	5 Aug 2024 Recommend to Audit and Risk Committee that this be closed per recommendation from Manager ICT 25 July 2023 SOA IA - No progress update 8 February 2023: Cybersecurity Framework is currently being drafted.	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Risk Assessment for Cyber Security threats	Conduct cyber security risk assessment at planned intervals (including using existing information to inform the assessments)	Medium	Manager ICT	Agreed. Schedule of planned intervals for conducting cybersecurity risk assessments to be incorporated into the Cybersecurity Framework and operating procedures	Schedule of planned intervals for conducting cybersecurity risk assessments to be incorporated into the Cybersecurity Framework and operating procedures	28-Feb-23	Overdue	2 Aug 2024 Risks are currently managed at business unit level, Information Services has implemented a risk register, specifically Risk ID Soa ICT 11 (Cyber Security Breaches), also quarterly reoccurring tasks are automatically assigned by the Service Desk System to the Mgr IS to review the risks and treatments. (attached , IS Risk register ICT 11 Screenshot, Scheduled Task Risk Review Screenshot, Completed Risk and Treatment Tasks Screenshot) 25 July 2023 - Reoccurring task to be set	5 Aug 2024 Awaiting verification by IA prior to closure 25 July 2023 SOA IA - Remains in Not Started	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Risk Assessment for Cyber Security threats	Retain documented information of the results of the risk assessment	Medium	Manager ICT	Agreed. Register maintained of risk assessments conducted in accordance with the framework and procedures	Register maintained of risk assessments conducted in accordance with the framework and procedures	30-Sep-23	Overdue	2 Aug 2024 Risks are currently managed at business unit level, Information Services has implemented a risk register, specifically Risk ID Soa ICT 11 (Cyber Security Breaches), also quarterly reoccurring tasks are automatically assigned by the Service Desk System to the Mgr IS to review the risks and treatments. (attached , IS Risk register ICT 11 Screenshot, Scheduled Task Risk Review Screenshot, Completed Risk and Treatment Tasks Screenshot) 25 July 2023 - Reoccurring task to be set	5 Aug 2024 Awaiting verification by IA prior to closure 25 July 2023 SOA IA - Remains in Not Started	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Risk Assessment for Cyber Security threats	Update key governance documents and processes post performing the risk assessment	Medium	Manager ICT	Agreed. Register maintained of risk assessments conducted in accordance with the framework and procedures	Register maintained of risk assessments conducted in accordance with the framework and procedures	30-Sep-23	Overdue	2 Aug 2024 Risks are currently managed at business unit level, Information Services has implemented a risk register, specifically Risk ID Soa ICT 11 (Cyber Security Breaches), also quarterly reoccurring tasks are automatically assigned by the Service Desk System to the Mgr IS to review the risks and treatments. (attached , IS Risk register ICT 11 Screenshot, Scheduled Task Risk Review Screenshot, Completed Risk and Treatment Tasks Screenshot)	5 Aug 2024 Awaiting verification by IA prior to closure 25 July 2023 SOA IA - No progress update	Awaiting Validation by IA

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Shire of Ashburton

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Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
01-Nov-22	Moore Australia	Cyber Security	Testing for control weakness and Cyber security threats (including penetration testing)	Establish an annual program of testing vulnerabilities (including penetration testing) which can be performed in house by staff with appropriate skills and experience or externally by consultants	Medium	Manager ICT	Agreed. Incorporate an annual program of testing vulnerabilities into the Cybersecurity Framework and supporting operating procedures	Incorporate an annual program of testing vulnerabilities into the Cybersecurity Framework and supporting operating procedures	31-Jan-23	Overdue	2 Aug 2024 The Shire has implemented reoccurring schedule tasks via the Service Desk System for the assessment of vulnerabilities, the Shire has implemented a Network wide vulnerability scanner and has had an external penetration test performed, the Shire will have these tests performed annually.(attached, Vulnerability Schedule Task Screenshot and Security Incident Handling Procedure, ES2 penetration test report Screen Shot) (for security reasons the report is not attached just a screenshot of the cover)	5 Aug 2024 Awaiting verification by IA prior to closure 25 July 2023 SOA IA - No progress update	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Testing for control weakness and Cyber security threats (including penetration testing)	Develop processes for documenting and addressing identified vulnerabilities in a timely manner	Medium	Manager ICT	Agreed. Develop processes for documenting and addressing identified vulnerabilities in a timely manner.	Develop processes for documenting and addressing identified vulnerabilities in a timely manner.	28-Feb-23	Overdue	2 Aug 2024 The Shire has implemented reoccurring schedule tasks via the Service Desk System for the assessment of vulnerabilities, the Shire has implemented a Network wide vulnerability scanner and has had an external penetration test performed, the Shire will have these tests performed annually.(attached, Vulnerability Schedule Task Screenshot and Security Incident Handling Procedure, ES2 penetration test report Screen Shot) (for security reasons the report is not attached just a screenshot of the cover)	5 Aug 2024 Awaiting verification by IA prior to closure 25 July 2023 SOA IA - Transferred to In Progress	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Physical security of key assets (including Server rooms)	Ensure that physical access to the server room is restricted to only those with authorised access to protected information systems and monitored to prevent unauthorised access and accidental damage	Medium	Manager ICT	Agreed. Review current security measures and incorporate acceptable restrictions for authorised access into the Shire's Cybersecurity Framework	Review current security measures and incorporate acceptable restrictions for authorised access into the Shire's Cybersecurity Framework	31-Jan-23	Overdue	2 Aug 2024 The TP Server Room is within inside a secure building and the door has security in place, under current circumstances the server room is as secure as financially viable.The Shire also has a Physical access procedure which it aims to follow as much as possible within the current environmental constraints.	5 Aug 2024 BTP Comment: Member of the Audit and Risk committee to deem whether this is acceptable, per the recommendation from Manager ICT 25 July 2023 SOA IA - No progress update 23 February 2023: With the current uses of the server room, it is not possible to restrict access in this way.	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Physical security of key assets (including Server rooms)	Ensure that physical access to the server room is restricted to only those with authorised access to protected information systems and monitored to prevent unauthorised access and accidental damage	Medium	Manager ICT	Agreed. Ensure security measures included in the framework are implemented	Ensure security measures included in the framework are implemented	30-Sep-23	Overdue	2 Aug 2024 The TP Server Room is within inside a secure building and the door has security in place, under current circumstances the server room is as secure as financially viable The Shire also has a Physical access procedure which it aims to follow as much as possible within the current environmental constraints	5 Aug 2024 BTP Comment: Member of the Audit and Risk committee to deem whether acceptable recommendation from Manager ICT 25 July 2023 SOA IA - No progress update 23 February 2023: With the current uses of the server room, it is not possible to restrict access in this way.	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Reporting of Cyber Security Incidents and Threats	Establish processes for identifying recording and reporting cyber security incidents to the relevant external entities and internally to the relevant authority	Medium	Manager ICT	Agreed. Incorporate cybersecurity recording, and reporting measures and frequency in the Cybersecurity Framework, including regular reporting to the ICT Working Group and Executive Leadership Team	Incorporate cybersecurity recording, and reporting measures and frequency in the Cybersecurity Framework, including regular reporting to the ICT Working Group and Executive Leadership Team	31-Jan-23	Overdue	2 Aug 2024 The Information Security Directive, Information Security Handling Procedure and Data Breach Proceedure is in place. 25 July 2023 -Procedure developed. In review stage	5 Aug 2024 BTP Comment: Awaiting verification by IA prior to closure 25 July 2023 SOA IA - Remains In 5 Aug 2024 BTP Comment: Member of the Audit and Risk committee to deem whether acceptable recommendation from Manager ICT Progress 8 February 2023: Cybersecurity Framework is currently being drafted	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Reporting of Cyber Security Incidents and Threats	Determine the frequency and key areas that the reporting will cover	Medium	Manager ICT	Agreed. Incorporate cybersecurity recording, and reporting measures and frequency in the Cybersecurity Framework, including regular reporting to the ICT Working Group and Executive Leadership Team	Incorporate cybersecurity recording, and reporting measures and frequency in the Cybersecurity Framework, including regular reporting to the ICT Working Group and Executive Leadership Team	31-Jan-23	Overdue	2 Aug 2024 The Information Security Directive, Information Security Handling Procedure and Data Breach Proceedure is in place. 25 July 2023 -Procedure developed. In review stage	5 Aug 2024 BTP Comment: Member of the Audit and Risk committee to deem whether acceptable recommendation from Manager ICT 25 July 2023 SOA IA - Remains In Progress 8 February 2023: Cybersecurity Framework is currently being drafted	Awaiting Validation by IA
01-Nov-22	Moore Australia	Cyber Security	Strategies and Plans for Recovery from Cyber security attacks and Threats	Develop an ICT Disaster Recovery Plan which outlines the overall strategy for recovery ICT (including Cybersecurity threats and incidents), reasons and the activities required to implement the strategy, including timeliness for recovering each specific technology component as required by the Shire	Medium	Manager ICT	Agreed. Develop an ICT Disaster Recovery Plan which outlines the overall strategy for recovery ICT (including cybersecurity threats and incidents), reasons and the activities required to implement the strategy, including timeliness for recovering each specific technology component as required by the Shire	Develop an ICT Disaster Recovery Plan which outlines the overall strategy for recovery ICT (including cybersecurity threats and incidents), reasons and the activities required to implement the strategy, including timeliness for recovering each specific technology component as required by the Shire	31-Jan-23	Overdue	2 Aug 2024 The IS Disaster recovery plan has a dependency on the Shire's Business Continuity Plan to be in place. A draft plan developed by Manager ICT will be in place until the Business Continuity Plan has been approved. 22 Sep 2023 SOA IA Already have a recruitment and Retention Strategy in place – needs review. Have already commenced with review of directives and procedures.	5 Aug 2024 BTP Comment: In progress 23 February 2023: First draft completed	In Progress
01-Nov-22	Moore Australia	Cyber Security	Strategies and Plans for Recovery from Cyber security attacks and Threats	Review the end-of-life cycle of the backup Information and Communication Technology infrastructure installed at the airport in late 2016	Medium	Manager ICT	Agreed. Develop an ICT asset replacement program	Develop an ICT asset replacement program	30-Jun-23	Overdue	2 Aug 2024 The IS Disaster recovery plan has a dependency on the Shire's Business Continuity Plan to be in place. A draft plan developed by Manager ICT will be in place until the Business Continuity Plan has been approved. 25 July 2023 -Capital funding for replacement of hardware approved. Yet to be ordered	5 Aug 2024 BTP Comment In progress 25 July 2023 SOA IA - Remains In Progress 2023 June 15: Insufficient evidence. 28 Feb 23: Management considers closed - no evidence received	In Progress
01-Nov-22	Moore Australia	Cyber Security	Strategies and Plans for Recovery from Cyber security attacks and Threats	Replace the backup infrastructure at the Shire's disaster recovery site (Onslow Airport) at end of its expected life cycle	Medium	Manager ICT	Agreed. Replace the backup infrastructure at the Shire's disaster recovery site (Onslow Airport) at end of its expected life cycle	Replace the backup infrastructure at the Shire's disaster recovery site (Onslow Airport) at end of its expected life cycle	30-Sep-23	Overdue	2 Aug 2024 The IS Disaster recovery plan has a dependency on the Shire's Business Continuity Plan to be in place. A draft plan developed by Manager ICT will be in place until the Business Continuity Plan has been approved. 25 July 2023 -Capital funding for replacement of hardware approved. Yet to be ordered	5 Aug 2024 BTP Comment In progress 25 July 2023 SOA IA - Transferred to In Progress	In Progress

SOA IA 2 Aug 2024

Shire of Ashburton

IA			Current Review Date:										
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
01-Nov-22	Moore Australia	Cyber Security	Management of removable media devices (USB and Flash drives) & Trusted Insider Program	Establish a removable media arrangement or policy that outlines the Shires expectation on the use, handling and protection of removable media	High	Manager ICT	Agree in part. Options will need to be discussed with ELT. Incorporate removable media arrangements into the Cybersecurity Framework	Agree in part. Options will need to be discussed with ELT. Incorporate removable media arrangements into the Cybersecurity Framework	31-Jan-23	Overdue	2 Aug 2024 The shire is implementing endpoint security onto its devices to ensure the control of removable devices; this should be completed by Aug 2024	5 Aug 2024 BTP Comment In Progress 25 July 2023 SOA IA - Remains In Progress 8 February 2023: Cybersecurity Framework is currently being drafted	In Progress
01-Nov-22	Moore Australia	Cyber Security	Management of removable media devices (USB and Flash drives) & Trusted Insider Program	Establish arrangements for monitoring unauthorised data access and excessive use of removable media	High	Manager ICT	Agree in part. Options will need to be discussed with ELT. Incorporate monitoring arrangements of non-permitted use of removable media into the Cybersecurity Framework	Agree in part. Options will need to be discussed with ELT. Incorporate monitoring arrangements of non-permitted use of removable media into the Cybersecurity Framework	31-Jan-23	Overdue	2 Aug 2024 The shire is implementing endpoint security onto its devices to ensure the control of removable devices; this should be completed by Aug 2024	25 July 2023 Still to be determined 25 July 2023 SOA IA - Remains In Progress 8 February 2023: Cybersecurity Framework is currently being drafted	In Progress
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Business continuity management arrangements	Review the Shire's Business Continuity Management Arrangements (BCMA) to ensure they reflect current practice requirements and better practice principles from AS ISO 22301:2020 Security and Resilience	Medium	Manager Governance	There is no reason for the BCMA's to record the Local Recovery Centers (LRC). LRCs are for community use and do not play a role in BCMA. It should be remembered that they are separate processes. It is agreed that a system should be put in place to ensure the BCMA is updated annually, and all appropriate measures are put in place to ensure it is relevant, staff are aware of it and hard copies are maintained. This should commence with internal ownership being assigned and a consultant engaged to train and assist staff to develop BCMA's for service units and the organization as a whole. Review Business Continuity Management Arrangements (BCMA) ensuring it adheres current practice requirements and better practice principles from AS ISO 22301:2020 Security and Resilience	There is no reason for the BCMA's to record the Local Recovery Centers (LRC). LRCs are for community use and do not play a role in BCMA. It should be remembered that they are separate processes. It is agreed that a system should be put in place to ensure the BCMA is updated annually, and all appropriate measures are put in place to ensure it is relevant, staff are aware of it and hard copies are maintained. This should commence with internal ownership being assigned and a consultant engaged to train and assist staff to develop BCMA's for service units and the organization as a whole. Review Business Continuity Management Arrangements (BCMA) ensuring it adheres current practice requirements and better practice principles from AS ISO 22301:2020 Security and Resilience	30-Sep-23	Overdue	2 Aug 2024 Consultant appointed to improve business continuity arrangements at the Shire. New documents have been drafted and are currently under review. 29 Jan 2024 by DSC Refer to ARITAG – This is part of the Risk Management Consultants brief and will be completed over the next 12 months. SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: In progress SOA IA 25 Aug 2023 Not Started	In Progress
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Business continuity management arrangements	Ensure the BCMA, are approved by the CEO or Executive Leadership Team	Medium	Manager Governance	There is no reason for the BCMA's to record the Local Recovery Centers (LRC). LRCs are for community use and do not play a role in BCMA. It should be remembered that they are separate processes. It is agreed that a system should be put in place to ensure the BCMA is updated annually, and all appropriate measures are put in place to ensure it is relevant, staff are aware of it and hard copies are maintained. This should commence with internal ownership being assigned and a consultant engaged to train and assist staff to develop BCMA's for service units and the organization as a whole.	Have the BCMA approved by the Executive Leadership Team.	31-Dec-23	Overdue	2 Aug 2024 Consultant appointed to improve business continuity arrangements at the Shire. New documents have been drafted and are currently under review. SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: In progress SOA IA 25 Aug 2023 Not Started	In Progress
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Business continuity management arrangements	Communicate the BCMA, to all staff within the organisation	Medium	Manager Governance	There is no reason for the BCMA's to record the Local Recovery Centers (LRC). LRCs are for community use and do not play a role in BCMA. It should be remembered that they are separate processes. It is agreed that a system should be put in place to ensure the BCMA is updated annually, and all appropriate measures are put in place to ensure it is relevant, staff are aware of it and hard copies are maintained. This should commence with internal ownership being assigned and a consultant engaged to train and assist staff to develop BCMA's for service units and the organization as a whole. Communicate the BCMA to all staff within the organisation.	Communicate the BCMA to all staff within the organisation.	31-Jan-24	Overdue	2 Aug 2024 Consultant appointed to improve business continuity arrangements at the Shire. New documents have been drafted and are currently under review SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire. Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Aug 2023 Not Started	In Progress
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Business continuity management arrangements	Copies of the BCMA, be made available and easily accessible to staff and relevant contractors at induction and ongoing basis; and hard copies to be retained by those with BCP role responsibilities within the Shire	Medium	Manager Governance	There is no reason for the BCMA's to record the Local Recovery Centers (LRC). LRCs are for community use and do not play a role in BCMA. It should be remembered that they are separate processes. It is agreed that a system should be put in place to ensure the BCMA is updated annually, and all appropriate measures are put in place to ensure it is relevant, staff are aware of it and hard copies are maintained. This should commence with internal ownership being assigned and a consultant engaged to train and assist staff to develop BCMA's for service units and the organization as a whole.	BCMA be made available and easily accessible to staff and relevant contractors at induction and ongoing basis; and hard copies to be retained by those with BCP role responsibilities within the Shire.	31-Jan-24	Overdue	2 Aug 2024 Consultant appointed to improve business continuity arrangements at the Shire. New documents have been drafted and are currently under review SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Aug 2023 Not Started	In Progress
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Business continuity management arrangements	Establish a program of reviewing the Business Continuity Management Arrangements, at a minimum every one year	Medium	Manager Governance	There is no reason for the BCMA's to record the Local Recovery Centers (LRC). LRCs are for community use and do not play a role in BCMA. It should be remembered that they are separate processes. It is agreed that a system should be put in place to ensure the BCMA is updated annually, and all appropriate measures are put in place to ensure it is relevant, staff are aware of it and hard copies are maintained. This should commence with internal ownership being assigned and a consultant engaged to train and assist staff to develop BCMA's for service units and the organization as a whole.	Review frequency to be incorporate in the revised Business Continuity Management Arrangements.	30-Sep-23	Overdue	2 Aug 2024 Consultant appointed to improve business continuity arrangements at the Shire. New documents have been drafted and are currently under review SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 In Progress SOA IA 25 Aug 2023 Not Started	In Progress
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Risk and Business Impact Assessment	Conduct Risk Assessment and Business Impact Assessment	Medium	Manager Governance	Agreed. Shire to engage a suitably qualified consultant to ensure these measures are implemented. Incorporate Risk and Business Impact Assessment into Shire Business Continuity Management Arrangements, including regular reviews.	Shire to engage a suitably qualified consultant to ensure these measures are implemented. Incorporate Risk and Business Impact Assessment into Shire Business Continuity Management Arrangements, including regular reviews.	30-Sep-23	Overdue	2 Aug 2024 Consultant appointed to improve business continuity arrangements at the Shire. New documents have been drafted and are currently under review SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Aug 2023 Not Started	In Progress
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Risk and Business Impact Assessment	Use findings to update the business continuity arrangements	Medium	Manager Governance	Agreed. Shire to engage a suitably qualified consultant to ensure these measures are implemented. Identified findings to be incorporate in the review of the Shire Business Continuity Management Arrangements.	Shire to engage a suitably qualified consultant to ensure these measures are implemented. Identified findings to be incorporate in the review of the Shire Business Continuity Management Arrangements.	30-Sep-24	Not Due	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not Started SOA IA 25 Aug 2023 Not Started	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Disaster Recovery (ICT Infrastructure)	Develop an ICT Disaster recovery plan which outlines the overall strategy for recovery ICT reasons and the activities required to implement the strategy, including timeliness for recovering each specific technology component as required by the Shire	Medium	Manager ICT	Agreed. Develop an ICT Disaster Recovery Plan which outlines the overall strategy for recovery ICT (including cybersecurity threats and incidents), reasons and the activities required to implement the strategy, including timeliness for recovering each specific technology component as required by the Shire;	Develop an ICT Disaster Recovery Plan which outlines the overall strategy for recovery ICT (including cybersecurity threats and incidents), reasons and the activities required to implement the strategy, including timeliness for recovering each specific technology component as required by the Shire;	31-Jan-23	Overdue	SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	SOA IA 25 Aug 2023 In Progress 25 July 2023 SOA IA - No progress update 28 Feb 23: In progress - draft completed.	In Progress

SOA IA 2 Aug 2024

Shire of Ashburton

IA			Current Review Date:										
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Disaster Recovery (ICT Infrastructure)	Review the end-of-life cycle of the backup Information and Communication Technology infrastructure installed at the airport in late 2016	Medium	Manager ICT	Agreed. Develop an ICT asset replacement program.	Develop an ICT asset replacement program.	30-Jun-23	Overdue	SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	SOA IA 25 Aug 2023 In Progress 25 July 2023 SOA IA - No progress update 2023 June 15: Insufficient evidence. 28 Feb 23: Management considers closed - no evidence received.	In Progress
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Disaster Recovery (ICT Infrastructure)	Replace the backup infrastructure at the Shire's disaster recovery site (Onslow Airport) at end of its expected life cycle	Medium	Manager ICT	Agreed. Replace the backup infrastructure at the Shire's disaster recovery site (Onslow Airport) at end of its expected life cycle.	Replace the backup infrastructure at the Shire's disaster recovery site (Onslow Airport) at end of its expected life cycle.	30-Sep-23	Overdue	SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	SOA IA 25 Aug 2023 In Progress 25 July 2023 SOA IA - Remains In Progress	In Progress
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Scenario Testing and Post exercise review	Establish a program of exercising and testing of the BCP arrangements	Medium	Manager Governance	Agreed. Scenario testing should be completed by a facilitator and staff with a post exercise review undertaken. Establish a program of exercising and testing of the BCP arrangements;	Scenario testing should be completed by a facilitator and staff with a post exercise review undertaken. Establish a program of exercising and testing of the BCP arrangements;	30-Sep-23	Overdue	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Scenario Testing and Post exercise review	Ensure the program is performed on a timely basis	Medium	Manager Governance	Agreed. Scenario testing should be completed by a facilitator and staff with a post exercise review undertaken. Ensure the program is performed on a timely basis;	Scenario testing should be completed by a facilitator and staff with a post exercise review undertaken. Ensure the program is performed on a timely basis;	30-Sep-24	Not Due	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Scenario Testing and Post exercise review	Document post testing exercise reports that contain outcomes, recommendations and actions to implement improvements	Medium	Manager Governance	Agreed. Scenario testing should be completed by a facilitator and staff with a post exercise review undertaken. Document post testing exercise reports that contain outcomes, recommendations and actions to implement improvements.	Scenario testing should be completed by a facilitator and staff with a post exercise review undertaken. Document post testing exercise reports that contain outcomes, recommendations and actions to implement improvements.	30-Sep-24	Not Due	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Staff awareness and training	Establish an ongoing training program for staff on business continuity including refresher training	Medium	Manager Governance	Agreed. Budget should be amended to provide appropriate training. Establish an ongoing training program for staff on business continuity including refresher training	Budget should be amended to provide appropriate training.	30-Sep-23	Overdue	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Staff awareness and training	Ensure that the program is approved by the CEO or the delegated authority	Medium	Manager Governance	Agreed. Budget should be amended to provide appropriate training. Ensure that the program is approved by the CEO or the delegated authority	Budget should be amended to provide appropriate training. Ensure that the program is approved by the CEO or the delegated authority	31-Oct-23	Overdue	SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Staff awareness and training	Maintain an up-to-date log of when staff last completed their training	Medium	Manager Governance	Agreed. Budget should be amended to provide appropriate training. Maintain an up-to-date log of when staff last completed their training	Budget should be amended to provide appropriate training. Maintain an up-to-date log of when staff last completed their training	30-Jun-24	Not Due	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 Not started SOA IA 25 Aug 2023 Not Started	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Staff awareness and training	Set minimum timeframes for when staff should attend the refresher training	Medium	Manager Governance	Agreed. Budget should be amended to provide appropriate training. Set minimum timeframes for when staff should attend the refresher training	Budget should be amended to provide appropriate training. Set minimum timeframes for when staff should attend the refresher training	30-Sep-23	Overdue	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Staff awareness and training	Ensure staff attend the training and refresher courses	Medium	Manager Governance	Agreed. Budget should be amended to provide appropriate training. Ensure staff attend the training and refresher courses.	Budget should be amended to provide appropriate training. Ensure staff attend the training and refresher courses.	30-Jun-24	Not Due	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Reporting to the Executive, Audit and Risk Committee and Council	Develop reporting and for monitoring compliance and performance of the Shire's business continuity management arrangements	Medium	Manager Governance	Agreed. Appropriate governance framework should be developed whilst undertaking a major review. Develop reporting for monitoring compliance and performance of the Shire's business continuity management arrangements	Appropriate governance framework should be developed whilst undertaking a major review. Develop reporting for monitoring compliance and performance of the Shire's business continuity management arrangements	30-Jun-24	Not Due	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Reporting to the Executive, Audit and Risk Committee and Council	Ensure the requirements are approved by the CEO, Executive or relevant delegated authority	Medium	Manager Governance	Agreed. Appropriate governance framework should be developed whilst undertaking a major review. Ensure the requirements are approved by the CEO, Executive or relevant delegated authority;	Appropriate governance framework should be developed whilst undertaking a major review. Ensure the requirements are approved by the CEO, Executive or relevant delegated authority;	30-Jun-24	Not Due	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started

SOA IA 2 Aug 2024

Shire of Ashburton

Current Review Date:													
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Reporting to the Executive, Audit and Risk Committee and Council	Regularly report to the executive and Audit and Risk Committee level	Medium	Manager Governance	Agreed. Appropriate governance framework should be developed whilst undertaking a major review. Regularly report to the Executive Leadership Team.	Appropriate governance framework should be developed whilst undertaking a major review. Regularly report to the Executive Leadership Team.	30-Sep-24	Not Due	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Compliance Monitoring	Determine the frequency and method of monitoring compliance	Medium	Manager Governance	Agreed. Determine the frequency and method of monitoring compliance	Determine the frequency and method of monitoring compliance	30-Jun-24	Not Due	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Compliance Monitoring	Regularly monitor; and Report to executive and the Audit and Risk Committee the outcomes	Medium	Manager Governance	Agreed. Regularly monitor; and report to the Executive Leadership Team on the outcomes.	Regularly monitor; and report to the Executive Leadership Team on the outcomes.	30-Sep-24	Not Due	2 Aug 2024 No update SOA IA 25 Aug 2023 Funds for business continuity were approved in the 2023/2024 Annual Budget. A draft scope for RFQ has been prepared for the review of business continuity arrangements at the Shire.	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
02-Dec-22	Moore Australia	Contract Management	Contract Register	Develop comprehensive policies and procedures to manage and review the Contract Register	Medium	Senior Procurement Officer	Develop a procedure for the management and review of the Contract Register	Develop a procedure for the management and review of the Contract Register	30-Jun-23	Overdue	2 Aug 2024 Drafts reviewed by MMG - yet to be sent to ELT for review. 29 Jan 2024 Drafts forwarded to MMG for comment/review as per ADCEO instructions. 21 Dec 2023 Drafts forwarded to DCEO for comment/review. 25 Oct 2023 Drafts forwarded to WHS Consultant and Financial Audit Controller for comment/review. 22 Sep 2023 Drafts resent to Director Community Services for review, Deputy CEO cc'd in also SOA IA 25 Aug 2023 Procedure is being developed, in Draft stage, yet to be approved by Director. Feedback from staff received SOA IA 25 July 2023 -Procedure is being developed, in Draft stage, yet to be approved by Director before ELT approval. No feedback as yet. 2023 July 4: Procedure is being developed, in Draft stage, yet to be	5 Aug 2024 BTP Comment: In progress SOA IA 21 Dec 2023 Remains in Progress SOA IA 25 Oct 2023 In Progress SOA IA 25 Aug 2023 In Progress SOA IA 25 July 2023 Remains in progress. 2023 July 4: Remains in progress. 2023 May 23: Remains in progress. 2023 April 27: Remains in progress. 28 March 23: Shire in process of developing procedures and Directive.	In Progress
02-Dec-22	Moore Australia	Contract Management	Contract and Supplier Performance Management	Develop and implement comprehensive performance management policies and procedures for the purposes for contract and supplier management in line with the WA Contract Management Framework Principles published by the Department of Finance. This includes processes such as, but not limited to: •Regular and structured performance reviews; •Formal documentation requirements for performance review meetings and communication with suppliers; •Monitoring and resolving non-compliance or poor contract performance with contract conditions; and •Mechanisms to ensure consistent processes to ensure contract conditions and deliverables are assessed and recorded in a final review.	High	Senior Procurement Officer	Incorporate contract performance management in the Contract Management Directive	Incorporate contract performance management in the Contract Management Directive	30-Jun-23	Overdue	2 Aug 2024 Drafts reviewed by MMG – yet to be sent to ELT as to be reviewed. Procurement has sought information from other LG's and a quote from VendorPanel for procurement modules that will be for purchases between 10,000 and 99,000 – Approval by DCEO to finalise with ICT Group. 29 Jan 2024 Drafts forwarded to MMG for comment/review as per ADCEO instructions. SOA IA 21 Dec 2023 Drafts forwarded to DCEO for comment/review. 25 Oct 2023 Forwarded to WHS Consultant and Financial Audit Controller for comment/review. 22 Sep 2023 Drafts resent to Director Community Services for review, Deputy CEO cc'd in also 25 Aug 2023 Directive & Procedure is being developed, in Draft stage, yet to be approved by Director before ELT approval. . Feedback from staff received. 25 July 2023 - Directive & Procedure is being developed, in Draft	5 Aug 2024 BTP Comment: In Progress SOA IA 21 Dec 2023 Remains in progress SOA IA 25 Oct 2023 In Progress SOA IA 25 Aug 2023 In Progress SOA IA 25 July 2023 Remains in progress. 2023 July 4: Remains in progress. 2023 May 23: Remains in progress. 2023 April 27: Remains in progress. 28 March 23: Shire in process of developing procedures and Directive.	In Progress

SOA IA 2 Aug 2024

Shire of Ashburton

IA			Current Review Date:										
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
02-Dec-22	Moore Australia	Contract Management	Contract Variations	Execute a review process for contract variations to determine whether the cumulative effect of variations requires a separate procurement process	High	Senior Procurement Officer	Investigate Contract Management Software to resolve issues with tracking budget and variations, including performance reviews and retention monies	Investigate Contract Management Software to resolve issues with tracking budget and variations, including performance reviews and retention monies	30-Jun-23	Overdue	<p>2 Aug 2024 Procurement has sought information from other LG's and a quote from VendorPanel for Contract Management module</p> <p>29 Jan 2024 Still investigating Software, ICT Group hoping that any new software will be able to incorporate Contract Management.</p> <p>SOA IA 21 Dec 2023 Still investigating Software, ICT Group hoping that any new software will be able to incorporate Contract Management.</p> <p>25 Oct 2023 Still investigating Software, ICT Group hoping that any new software will be able to incorporate Contract Management.</p> <p>22 Sep 2023 Still investigating Software, ICT Group hoping that any new software will be able to incorporate Contract Management.</p> <p>25 Aug 2023 Contract Management Software solutions are still being looked at, in the meantime a request to used Contract Management Software has been received by ELT.</p>	<p>5 Aug 2024 BTP Comment: In Progress</p> <p>SOA IA 21 Dec 2023 In progress</p> <p>25 Oct 2023 In Progress</p> <p>SOA IA 25 Aug 2023 In Progress</p> <p>SOA IA 25 July 2023 Remains in progress.</p> <p>2023 July 4: Remains in progress.</p> <p>2023 May 23: Remains in progress.</p> <p>2023 April 27: Remains in progress.</p> <p>31 January 2023: No evidence of review.</p>	In Progress
02-Dec-22	Moore Australia	Contract Management	Training and Contract Manager Continuity	<p>The Shire should:</p> <ul style="list-style-type: none">•Establish an ongoing training program for all staff on basic and standardised approach to contract management including refresher training;•Establish an ongoing training program specifically for contract managers to ensure expectations and standards are maintained especially during a handover of responsibility;•Ensure that the program is approved by the CEO or the delegated authority;•Maintain an up-to-date log of when staff last completed their training;•Set minimum timeframes for when staff should attend the refresher training; and•Ensure staff the attend the training and refresher courses	Medium	Senior Procurement Officer	<ul style="list-style-type: none">•Establish an ongoing training program for all staff on basic and standardised approach to contract management including refresher training;•Establish an ongoing training program specifically for contract managers to ensure expectations and standards are maintained especially during a handover of responsibility;•Ensure that the program is approved by the CEO or the delegated authority;•Maintain an up-to-date log of when staff last completed their training; and•Set minimum timeframes for when staff must attend the refresher training	<ul style="list-style-type: none">•Establish an ongoing training program for all staff on basic and standardised approach to contract management including refresher training;•Establish an ongoing training program specifically for contract managers to ensure expectations and standards are maintained especially during a handover of responsibility;•Ensure that the program is approved by the CEO or the delegated authority;•Maintain an up-to-date log of when staff last completed their training; and•Set minimum timeframes for when staff must attend the refresher training	31-Dec-23	Overdue	<p>2 Aug 2024 Drafts reviewed by MMG - yet to be sent to ELT as to be reviewed</p> <p>29 Jan 2024 Draft sent for feedback from internal stakeholders. Drafts forwarded to MMG for comment/review as per ADCEO instructions.</p> <p>SOA IA 21 Dec 2023 Draft sent for feedback from internal stakeholders. Draft forwarded to DCEO for comment/review.</p> <p>29 Jan 2024 Feedback requested from Internal stakeholders. Drafts forwarded to MMG for comment/review as per ADCEO instructions.</p> <p>25 Oct 2023 Draft sent for feedback from internal stakeholders.</p> <p>22 Sep 2023 No feedback received yet.</p> <p>SOA IA 25 Aug 2023 To be introduced once approved by Director – No feedback as yet.</p> <p>SOA IA 25 July 2023- To be introduced once approved by Director – No feedback as yet.</p>	<p>5 Aug 2024 BTP Comment: In Progress</p> <p>SOA IA 21 Dec 2023 In Progress</p> <p>SOA IA 25 Oct 2023 In Progress</p> <p>SOA IA 25 Aug 2023 In Progress</p> <p>2023 July 4: Remains in progress.</p> <p>2023 May 23: Remains in progress.</p> <p>2023 April 27: Remains in progress.</p> <p>31 January 2023: No evidence provided.</p>	In Progress
02-Dec-22	Moore Australia	Contract Management	Performance Monitoring and Reporting	<p>The Shire Should:</p> <ul style="list-style-type: none">•Develop KPI's for monitoring compliance and performance of the contract management function based on policies, procedures and better practice principles and standards;•Ensure KPI's are approved by the Executive or relevant delegated authority;•Have a standard agenda item on a regular basis to discuss contract management matters; and•Regularly report to the Executive and Audit and Risk Committee level.	Medium	Senior Procurement Officer	Development of KPI's will be done in conjunction with Organisational Development for relevant officers	Development of KPI's will be done in conjunction with Organisational Development for relevant officers	31-Dec-23	Overdue	<p>2 Aug 2024 Drafts reviewed by MMG - yet to be sent to ELT as to be reviewed</p> <p>SOA IA 21 Dec 2023 Feedback requested from Internal stakeholders</p> <p>25 Oct 2023 Feedback requested from Internal stakeholders</p> <p>22 Sep 2023 Draft still</p> <p>25 July 2023- Draft stage, to consult with relevant departments</p> <p>2023 May 23: Draft stage, to consult with relevant departments</p> <p>2023 April 27: To be raised with ELT for Performance Review Period – Procurement creating a list of roles and the proposed KPI to be introduced.</p> <p>Progress Update as at 12 January 2023 Ongoing. Procurement to develop with Project officers</p>	<p>5 Aug 2024 BTP Comment: In Progress</p> <p>SOA IA 21 Dec 2023 In progress</p> <p>SOA IA 25 Oct 2023 In Progress</p> <p>SOA IA 25 July 2023 Remains in progress.</p> <p>2023 July 4: Remains in progress.</p> <p>2023 April 27: Remains in progress.</p> <p>31 January 2023: No evidence provided.</p>	In Progress

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Shire of Ashburton

Current Review Date:													
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
02-Dec-22	Moore Australia	Contract Management	Performance Monitoring and Reporting	The Shire Should: •Develop KPIs for monitoring compliance and performance of the contract management function based on policies, procedures and better practice principles and standards; •Ensure KPI's are approved by the Executive or relevant delegated authority; •Have a standard agenda item on a regular basis to discuss contract management matters; and •Regularly report to the Executive and Audit and Risk Committee level.	Medium	Senior Procurement Officer	Investigate and implement system to allow for reporting	Investigate and implement system to allow for reporting	31-Dec-23	Overdue	2 Aug 2024 Drafts reviewed by MMG - yet to be sent to ELT as to be reviewed 29 Jan 2024 Drafts forwarded to MMG for comment/review as per ADCEO instructions. 21 Dec 2023 No update 25 Oct 2023 No update 22 Sep 2023 No update 25 July 2023- Once are KPI are finalised, suggestion is for these to be included into Performance review process. 2023 May 23: Once are KPI are finalised, suggestion is for these to be included into Performance review process. 2023 April 27: Ensure KPI for projects are included with any project software or forms. Progress Update as at 12 January 2023	5 Aug 2024 BTP Comment: In Progress SOA IA 25 July 2023 Remains in progress. 2023 July 4: Remains in progress. 2023 April 27: Remains in progress. 31 January 2023: No evidence provided.	In Progress
02-Dec-22	Moore Australia	Contract Management	Performance Monitoring and Reporting	The Shire Should: •Develop KPIs for monitoring compliance and performance of the contract management function based on policies, procedures and better practice principles and standards; •Ensure KPI's are approved by the Executive or relevant delegated authority; •Have a standard agenda item on a regular basis to discuss contract management matters; and •Regularly report to the Executive and Audit and Risk Committee level.	Medium	Senior Procurement Officer	Reporting to PCG and Audit and Risk Committee.	Reporting to PCG and Audit and Risk Committee.	31-Dec-23	Overdue	2 Aug 2024 Drafts reviewed by MMG - yet to be sent to ELT as to be reviewed 29 Jan 2024 Drafts forwarded to MMG for comment/review as per ADCEO instructions. SOA IA 21 Dec 2023 Ongoing 25 Oct 2023 Ongoing 22 Sep 2023 Ongoing 25 July 2023- As per Audit and Risk Committee schedule and ELT. Completed as ongoing 2023 April 27: As per Audit and Risk Committee schedule and ELT. Completed as ongoing Progress Update as at 12 January 2023 Ongoing - Procurement to develop with Project officers	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Oct 2023 Remains in progress on the basis that SOA IA 25 July 2023 Remains in progress. 2023 July 4: Remains in progress. 2023 April 27: Remains in progress. 31 January 2023: No evidence provided.	In Progress
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Fraud and Corruption Control Framework Limitations	Review, update, approve and implement the Fraud and Corruption Control Plan;	Medium	Director Corporate Services	Review and implement the draft Fraud and Corruption Control Plan in line with appropriate accounting standards, to be approved by ELT.	Review and implement the draft Fraud and Corruption Control Plan in line with appropriate accounting standards, to be approved by ELT.	31-Dec-23	Overdue	2 Aug 2024 No update provided 29 Jan 2024 Refer to ARITAG – I am not sure where this one is at. The Shire has a Fraud & Corruption Framework that Financial Audit Controller was reviewing/updating. 20 Nov 2023 ARMC adopted a F&CCP in 2019. Financial Audit Controller currently updating	5 Aug 2024 BTP Comment: In Progress SOA IA 20 Nov 2023 Changed to In progress	In Progress
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Fraud and Corruption Control Framework Limitations	Draft, approve and implement a Fraud and Corruption policy and procedure;	Medium	Director Corporate Services	Develop Fraud and Corruption Policy and procedures	Develop Fraud and Corruption Policy and procedures	31-Dec-23	Overdue	2 Aug 2024 No update provided 20 Nov 2023 ARMC adopted a F&CCP in 2019. Financial Audit Controller currently updating	5 Aug 2024 BTP Comment: In Progress SOA IA 20 Nov 2023 Remains In progress 8 February 2023: Fraud and Corruption Policy currently being drafted. It is anticipated that this policy will be submitted to the March Ordinary Council Meeting	In Progress
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Fraud and Corruption Control Framework Limitations	Draft, approve and implement a Fraud and Corruption policy and procedure;	Medium	Director Corporate Services	Identified corporate documents, i.e Financial Manual, to have reference to the Fraud and Corruption Plan, policy and procedures as required.	Identified corporate documents, i.e Financial Manual, to have reference to the Fraud and Corruption Plan, policy and procedures as required.	31-Dec-23	Overdue	2 Aug 2024 No update provided 20 Nov 2023 ARMC adopted a F&CCP in 2019. Financial Audit Controller currently updating	5 Aug 2024 BTP Comment: In Progress SOA IA 20 Nov 2023 Transferred to In progress	In Progress
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Outdated Public Interest Disclosure Information and related Policies and Procedures	All outdated policies and procedures should be reviewed and updated to reflect better practice and compliance requirements;	High	Manager Governance	Outdated Public Interest Disclosure information and related policies and procedures to be reviewed	Outdated Public Interest Disclosure information and related policies and procedures to be reviewed	30-Jun-23	Overdue	2 Aug 2024 No update SOA IA 25 Aug 2023 The Gratuity Policy and Risk Management Policy were reviewed by Council on 13/12/2022. EMP16 Grievance Investigations and Resolution was repealed by Council on 8/11/2022 and is currently being converted into a Directive. The Public Interest Disclosure information on the website and Authorisations Register are currently under review.	5 Aug 2024 BTP Comment: In progress SOA IA 25 Aug 2023 Transferred to In Progress	In Progress

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Shire of Ashburton

Current Review Date:													
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Lack of Oversight of Fraud and Corruption Risks	The ARMC should devote appropriate time for discussions on Fraud and Corruption risks during meetings;	Medium	Manager Governance	Include review, monitoring and reporting of fraud and corruption risks in the Fraud and Corruption Control Plan.	Include review, monitoring and reporting of fraud and corruption risks in the Fraud and Corruption Control Plan.	31-Dec-23	Overdue	2 Aug 2024 No update	5 Aug 2024 BTP Comment: Not started SOA IA 25 Aug 2023 Not Started	Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Lack of Oversight of Fraud and Corruption Risks	The ARMC should devote appropriate time for discussions on Fraud and Corruption risks during meetings;	Medium	Manager Governance	Fraud and Corruption risks to be included in the standard agenda for ARMC.	Fraud and Corruption risks to be included in the standard agenda for ARMC.	31-Dec-23	Overdue	2 Aug 2024 No update SOA IA 25 Aug 2023 A draft scope for RFQ has been prepared for the implementation of risk management at the Shire.	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Aug 2023 Transferred to In Progress	In Progress
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Lack of Oversight of Fraud and Corruption Risks	The ARMC should improve oversight over the Shire's Executive Management team in effectively approving and implementing the FC Control Plan;	Medium	Manager Governance	Fraud and Corruption Control Plan to be approved by ARMC and Council.	Fraud and Corruption Control Plan to be approved by ARMC and Council.	31-Dec-23	Overdue	2 Aug 2024 No update 20 Nov 2023 Draft updated Fraud and Corruption Control Plan prepared	5 Aug 2024 BTP Comment: In Progress SOA IA 20 Nov 2023 Transferred to In progress	In Progress
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Lack of a Fraud and Corruption Risk Assessment and Alignment with Standards	The Shire should perform a comprehensive fraud and corruption risk assessment and ensure proper alignment with the Australian Standards for Fraud and Corruption, AS 8001:2021;	High	Manager Governance	Undertake a risk assessment in relation to fraud and corruption.	Undertake a risk assessment in relation to fraud and corruption.	31-Dec-23	Overdue	2 Aug 2024 Risk management consultant appointed to improve risk management at the Shire. This will be considered as part of this project. SOA IA 25 Aug 2023 A draft scope for RFQ has been prepared for the implementation of risk management at the Shire	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Aug 2023 Transferred to In Progress	In Progress
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Lack of a Fraud and Corruption Risk Assessment and Alignment with Standards	The Shire should perform a comprehensive fraud and corruption risk assessment and ensure proper alignment with the Australian Standards for Fraud and Corruption, AS 8001:2021;	High	Manager Governance	Develop a Strategic Risk Register.	Develop a Strategic Risk Register.	30-Jun-24	Not Due	2 Aug 2024 Workshop held in July 2024 with the Executive Leadership Team to identify strategic risks. Workshop with elected members has been scheduled for August 2024. SOA IA 25 Aug 2023 A draft scope for RFQ has been prepared for the implementation of risk management at the Shire	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Aug 2023 Transferred to In Progress	In Progress
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Vendor Master File with Incomplete Records	The Vendor Master files should be reviewed and updated on a timely basis to ensure all relevant information is included;	Medium	Manager Finance	Vender Master File requirements and practices to be reviewed and incorporated into the Shire's Financial Manual.	Vender Master File requirements and practices to be reviewed and incorporated into the Shire's Financial Manual.	30-Jun-23	Overdue			Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Vendor Master File with Incomplete Records	Any missing information, including the ones identified in this audit should be reviewed with all relevant details included as identified;	Medium	Manager Finance	Vender Master Files to be audited and relevant details updated.	Vender Master Files to be audited and relevant details updated.	30-Jun-23	Overdue			Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Duplicate Cheque / ERT References	Cheque processing should be closely monitored and reviewed by management to ensure that any duplicate reference numbers, including the ones identified in the audit must be investigated and appropriately adjusted;	High	Manager Finance	Reference naming convention to be developed for reoccurring "Invoices" and documented in the finance manual.	Reference naming convention to be developed for reoccurring "Invoices" and documented in the finance manual.	30-Jun-23	Overdue			Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Employees Listed as Vendors in the Vendor Master File	Investigate the issues identified and assess the risk of fraud or error, and institute corrective action if necessary;	Medium	Manager Finance	Establish if SynergySoft is able to provide reports for the purpose of exception reporting to identify duplications. Review against approved secondary employment declarations.	Establish if SynergySoft is able to provide reports for the purpose of exception reporting to identify duplications. Review against approved secondary employment declarations.	31-Dec-23	Overdue			Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Vendors Still Being Used after Being Suspension	Vendors being used after their suspension dates should be flagged and inspected to identify why they are still being used with appropriate actions taken to address;	High	Manager Finance	Suspended Creditors procedure to be reviewed and if possible, increase measures placed on suspended creditors, including Auto Display Memo's. Finance Manual to be updated as required and incorporate monitoring and reporting measures.	Suspended Creditors procedure to be reviewed and if possible, increase measures placed on suspended creditors, including Auto Display Memo's. Finance Manual to be updated as required and incorporate monitoring and reporting measures.	31-Dec-23	Overdue			Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Creditor Expenditure Transactions Concerns	All transactions identified in this report including those with the higher rate of usage in Appendix 5 should be monitored and reviewed on a timely basis to ensure they are free from fraud or error;	High	Manager Finance	Include review, monitoring and reporting of fraud and corruption risks, including the Benford's Law test, in the Fraud and Corruption Control Plan and incorporate into the Shire's Finance Manual	Include review, monitoring and reporting of fraud and corruption risks, including the Benford's Law test, in the Fraud and Corruption Control Plan and incorporate into the Shire's Finance Manual	31-Dec-23	Overdue			Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Creditor Expenditure Transactions Concerns	Any transaction without descriptions, including the ones identified through this audit, should be reconfirmed against supporting documents and necessary descriptions made accordingly;	High	Manager Finance	An audit of the identified transactions to be conducted to confirm no fraudulent and corrupt practices have occurred. The outcome of the audit to be presented to Council and include the re-presenting of the accounts for payment information in full, including descriptions, for Council endorsement.	An audit of the identified transactions to be conducted to confirm no fraudulent and corrupt practices have occurred. The outcome of the audit to be presented to Council and include the re-presenting of the accounts for payment information in full, including descriptions, for Council endorsement.	30-Jun-23	Overdue			Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Creditor Expenditure Transactions Concerns	Consider improving the requisition process to include details of officer raising and approving transactions.	High	Manager Finance	Review systems controls, including Financial Software upgrades, that provide for the electronic record keeping of raising and approving invoices	Review systems controls, including Financial Software upgrades, that provide for the electronic record keeping of raising and approving invoices	31-Dec-23	Overdue			Not Started
01-Feb-23	Moore Australia	Payroll & HR FY22	Absence of Human Resources Payroll Management Framework, Policies and Procedures.	Develop, approve and implement a comprehensive Workforce Strategy, Workforce Plan, Human Resources and Payroll Management framework, including associated policies and procedures;	High	Manager Organisational Development	The Shire already has the following documents in place: HR Strategic Plan (CEO endorsed), Training and Development Plan (to be executed as part of 2023/24 budget year, Shire Recruitment and Retention Strategy (due for update); HR Service Plan (previous and new draft with KPI's), earlier this year we completed Workforce Plan phase 1 we are currently working on the completion of Workforce Plan phase 2. Leading on from this is a People Plan, which is already drafted. Most of these documents were discussed with the auditors when they were on site. In addition, the Shire has already developed a draft Skills matrix, which will be aligned with training programs in the 2022/23 year. We have finalised our policy review and have already commenced with a review of all HR directives and procedures, which will be finalised in 2023, as part of an organisation-wide initiative. Agree with comments around cancellation of systems/IT access as well as recovery of Shire assets and understanding where this sit to ensure sufficient rigour and control in future. + Manager Finance	Develop, approve and implement a comprehensive Workforce Plan, Recruitment and Retention Strategy, Human Resources and Payroll Management Framework, including associated policies and procedures.	31-Dec-23	Overdue	1 Aug 2024 Briefing Council on SWFP document at Aug OCM 29 Jan 2024 Please move DL to end April 24. Unable to start with so much movement. Need to finalise structure assessment first, before we can focus on a glossy. Work to be done in lead up to new FY. 25 Oct 2023 Commencing Dec 23 only 25 Aug 2023 Not Started 2023 July 4: As previously mentioned, to action next year – include in 2023/2 budget – not for this FY 2023 May 24: Cost included in 2023/24 budget 28 Feb 23: Review of all HR policies complete (Governance can confirm), ready to commence with Directive review (await go ahead from Governance), yet to commence	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Oct 2023 Not Started SOA IA 25 Aug 2023 Not Started 2023 May 24: Not started. 28 Feb 23: In progress.	In Progress

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Current Review Date:													
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
01-Feb-23	Moore Australia	Payroll & HR FY22	Lack of reporting on Human Resources and Payroll activities	Draft approve and implement a performance measurement and reporting framework for human resources and payroll activities, including self-assessment protocols;	High	Manager Organisational Development	HR reporting to ELT has historically been done via a dashboard. Due to lack of capacity, data integrity and especially lack of appropriate software to provide automated and accurate analytics, we have been unable to provide this level of reporting. Reporting is however provided to the CEO and ELT (where required) relating to onboarding survey data, exit data and analysis, employee engagement survey results, training completion reports, Performance Improvement Plans, Workplace Investigations and our annual Performance Review Process (PRP) reporting. In addition, the Manager Organisational Development has formed an LG network with other HR teams for benchmarking purposes. Examples of this are understanding how other Councils recognise and reward their staff, gaining insight into how other Councils (at national level) perform their Workplace Health and Safety function and salary benchmarking for Managers and Executive. Manager Organisational Development has regular scheduled meetings with Shire CEO and has KPI's that aligns with the Shire's strategic community plan. This follows through to the team. All HR team members are experienced HR practitioners and members of the Australian Institute of Human Resources to ensure skills are current and they stay abreast of market and legislative changes. Each Advisor is assigned to a particular stakeholder group to enable work outcomes and individual and team accountability. There are existing KPI's within the HR Service Plan for measurement and each Advisor receives regular Net Promoter Scoring (NPS).	Incorporate performance measurement and reporting requirements/processes in the Human Resources and Payroll Management Framework.	31-Dec-23	Overdue	2 Aug 2024 Commenced with HR Core (Pulse) implementation 20 Feb 2024 Continue to use the following measures to measure HR/OD team performance: Employee Engagement Survey OD team results - highest 2 consecutive years (4.7/5); Onboarding Survey Feedback (4.5/5); Internal NPS score 2023 8.7/10). Provide regular updates to Exec - see attached OD Dashboard and regular reporting to CEO. Still waiting on Definitiv integration. Tried pulling a report from Definitiv and the data was unfortunately inaccurate and not fit for purpose. 29 Jan 2024 Instructed to wait for Definitiv roll-out – with Corporate Services 25 Oct 2023 Instructed to wait for Definitiv roll-out 22 Sep 2023 Await Definitive system implementation for HR/OD analytics and reporting, however, the following information is already reported to our CEO, which he has access to: OD team NPS service scores and feedback, Market insight, WHS, PRP, eLearning status, onboarding survey data, exit survey data, leave accruals, employee engagement survey data. Happy to show you these.	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Oct 2023 In Progress SOA IA 25 Aug 2023 In Progress 2023 May 24: In progress.	In Progress
01-Feb-23	Moore Australia	Payroll & HR FY22	Inconsistencies in payroll process and documentation	Develop, approve and implement a comprehensive Workforce Strategy, Workforce Plan, Human Resources and Payroll Management framework, including associated policies and procedures;	High	Manager Organisational Development	Our HR practices have evolved over the last 12 months. This means we continue to implement new and better practices as part of our business process improvement initiatives. The auditors asked the team to provide current procedures for them to audit against, however, due to the frequent pace of change relating to practices and procedures, these audits were performed against practices that were not in place, relevant to each identified employee. There was therefore a mismatch between the procedure followed by employee and current practice. In addition, we used a step-change approach for the introduction of our Pulse modules and therefore must mainly rely on manual information saved on each employee file (for any historical information). We have subsequently discovered that some of the previous team stored information in email instead of using appropriate record-keeping procedures. Once Pulse modules have all been bedded down, we	Develop, approve and implement a comprehensive Workforce Plan, Recruitment and Retention Strategy, Human Resources and Payroll Management Framework, including associated policies and procedures.	31-Dec-23	Overdue	20 Feb 2024 The majority of OD Directives have now been approved and are operational. Started scoping WFP. IPR Project Implementation Plan DL for this is April 2024 22 Sep 2023 Major progress made iro internal controls – ongoing effort as we identify gaps SOA IA 25 Aug 2023 With governance department. Gov Dept is busy with directives and procedure reviews 2023 July 4: As previously mentioned, to action next year – include in 2023/2 budget – not for this FY 2023 May 24: OD policy/directive review has commenced. Cost for	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Aug 2023 In Progress 2023 May 24: In progress.	In Progress
01-Feb-23	Moore Australia	Payroll & HR FY22	Lack of Control Procedures for Shire Access and Assets	Draft, approve and implement a comprehensive staff exit controls policy and procedures;	Medium	Manager Organisational Development	Agreed	Develop and implement an offboarding directive and procedure. Implement Pulse Offboarding module with automated exit interview notifications and reporting. Incorporate offboarding processes in the framework.	30-Jun-23	Overdue	2 Aug 2024 New Directive endorsed by ELT and already in use New Supervisor Exit Checklist developed 20 Feb 2024 Done - Supervisor Offboarding Checklist in place and await approval of newly created Offboarding Directive. 29 Jan 2024 Done - Awaiting MMG and ELT approval 21 Dec 2023 Will be actioned in Jan 24 20 Nov 2023 Recently approved directives -Employee Learning and Development -Employee Reward and Recognition -Reference on Ex Employees -Performance Management -Discrimination, Bullying and Harresment 22 Sep 2023 SOA IA Progress slower than anticipated due to other pressing priorities SOA IA 25 Aug 2023 With governance department. Gov Dept is busy with directives and procedure 2023 July 4: Busy with Directive review. Offboarding Checklist	5 Aug 2024 BTP Comment: In Progress SOA IA 20 Feb 2023 Agreed action needs implementation of checklist, directive and Pulse Module/ any other automation. Remains in progress SOA IA 20 Nov 2023 5 Directives were verified SOA IA 25 Aug 2023 In Progress 2023 May 24: In progress. 28 Feb 23: In progress.	In Progress
01-Feb-23	Moore Australia	Payroll & HR FY22	Inappropriate System Access Control	Revoke inappropriate access to the payroll system and remove ex-employee user profiles from the system; and	Low	Manager ICT	Agreed. Risk rating should be medium to high due to the significant risk relating to cyber security and potential breaches.	Conduct an audit of SynergySoft access and remove unauthorised access.	31-Mar-23	Overdue	29 Jan 2024 Duplicate action. Similar ITGC management letter matter that has been responded to and will be closed out fully at next review 25 July 2023 -Procedure has been drafted. Still to be reviewed. Regularly reoccurring task has been set 2023 May 24: A business case for new workforce planning software has been presented to the ICT Committee - outcome yet to be determined. Cost of this software has been included in the proposed 2023/24 budget.	25 July 2023 SOA IA - Remains In Progress 2023 May 24: In progress.	In Progress

SOA IA 2 Aug 2024

Shire of Ashburton

IA			Current Review Date:										
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
01-Feb-23	Moore Australia	Payroll & HR FY22	Inappropriate System Access Control	Implement a process to regularly review, monitor and maintain system access control to all Shire information systems.	Low	Manager ICT	Agreed. Risk rating should be medium to high due to the significant risk relating to cyber security and potential breaches.	Incorporate the regular review, monitoring and maintenance of system access for all Shire information system in the Cybersecurity Framework.	31-Mar-23	Overdue	25 July 2023-Procedure has been drafted. Still to be reviewed. Regularly reoccurring task has been set	5 Aug 2024 BTP Comment: In Progress 25 July 2023 SOA IA Transferred to In Progress	In Progress
10-Oct-23	SOA IA	Reg 17-2023	Accuracy and completeness of Asset Register	IA agreed to recommends improve the completeness and accuracy of assets data by improving the communication flow between Finance Department and Assets Committee when closing each project and update two systems. Also, periodical reconciliation between two systems needs to be established either manually or automatically.	High	Manager Assets and Programming	Project closeout workflow and procedures to be reviewed by Assets and Programming, with approval by Finance, and endorsement by ELT. For distribution and action by Project Mangers through MMG.	Project closeout workflow and procedures to be reviewed by Assets and Programming, with approval by Finance, and endorsement by ELT	30-Dec-23	Overdue	1 Aug 2024 This document is in Draft and to be approved by ELT after agreement with finance. 29 January 2024 Refer to ARITAG and items 1 & 2 above. Significant work being done to improve quality of asset management data 21 Dec 2023 Finance Dept investigating removing Finance Assets from operation, and utilising Assetic myData or alternative, as single source of truth, eliminating	5 Aug 2024 BTP Comment: In Progress SOA IA 21 Dec 2023 Transferred to In progress	In Progress
10-Oct-23	SOA IA	Reg 17-2023	Project management	IA agreed to recommend that the project management methodology and procedures be established in terms of establishing the scope both at pre-budget level and pre RFT, establishing thresholds to apply procedures at different level of projects for complying with cost, schedule and quality control procedures and review the terms and conditions to effectively handle costs due to delays and quality defects.	High	Director Infrastructure Services and Director Community Development	Comments by Director Infrastructure Services and Director Community Development Project management procedures to be reviewed and endorsed by ELT. For distribution and action by Project Mangers through MMG	Develop Project Management Procedure including review of Terms and Conditions of contracts	28-Feb-24	Not Due	1 Aug 2024 Project Management Committee established and Framework drafted	5 Aug 2024 BTP Comment: In progress	In Progress
10-Oct-23	SOA IA	Reg 17-2023	Fuel stock	IA agreed to recommend monitoring consumption on regular basis and record the monitoring and actions taken based on results.	High	Manager Fleets	Smart keys process is now in place, 60% of vehicles now include Smart Tags and percentage is climbing with new Smart Tags recently arriving.	Implementation of Smart Tags 100%	31-Mar-24	Not Due	1 Aug 2024 Smart Tags are being issued to individual fleet as required. Require vehicles onsite to issue Nov 2023 Smart Tags are being issued to individual fleet as required. 25 Oct 2023 As discussed, this will be a simplified worksheet that only captures fuel use and consumption across LVs	SOA IA 29 Jan 2024 In Progress SOA IA 21 Dec 2023 Remains in progress SOA IA 20 Nov 2023 Remians In progress SOA IA 25 Oct 2023 Format of Monitoring Sheet has been drafted. ODO	In Progress
10-Oct-23	SOA IA	Reg 17-2023	Fuel stock	IA agreed to recommend monitoring consumption on regular basis and record the monitoring and actions taken based on results.	High	Manager Fleets	Reconciliation by SmartFill System for Tom Price is now in place. Onslow will be completed by the target date.	Fuel Reconciliation by SmartFill System for TomPrice and Onslow non moving tanks will be implemented	31-Mar-24	Not Due	1 Aug 2024 Smartfill system is in full use.	SOA IA 29 Jan 2024 Recommend verification by IA prior to closure	Awaiting Validation by IA
10-Oct-23	SOA IA	Reg 17-2023	Fuel stock	IA agreed to recommend monitoring consumption on regular basis and record the monitoring and actions taken based on results.	High	Manager Fleets	The Fleet Department are in the process of developing a separate worksheet to capture this data effectively for consumption monitoring.	Implementation of Fleet Fuel consumption monitoring	31-Mar-24	Not Due	1 Aug 2024 Excel spreadsheet in progress	5 Aug 2024 BTP Comment: Recommend verification by IA prior to closure	Awaiting Validation by IA
10-Oct-23	SOA IA	Reg 17-2023	Strategic Waste Management Plan	IA agreed to recommend review the Strategic Waste Management Plan to align with the new SCP and consider implementing best practices to the extent	High	Director Infrastructure and Manager Waste Services	A review will commence in the next six months for the plan's alignment and a gap analysis for the decision-making process. Outcome of a new strategic plan or	Review of Strategic Waste Management plan will commence in the next six months for the plan's alignment and a gap analysis for the decision-making process.	30-Jun-24	Not Due			Not Started
10-Oct-23	SOA IA	Reg 17-2023	Landfill inspection checklist	IA agreed to recommend that management review the checklist for adequacy and ensure compliant recordkeeping practices are in place.	High	Director Infrastructure and Manager Waste Services	IA agreed to recommend that management review the checklist for adequacy and ensure compliant recordkeeping practices are in place.	An internal review will commence of the checklist and undertaken a SWOT analysis of the 2010 checklist vs the outlined condensed version that is in application now	31-Dec-23	Overdue	20 Nov 2023 Checklists have been reviewed, formal feedback and assessment is ongoing for next stage. GAP and SWAT analysis	SOA IA 20 Nov 2023 Transferred to In progress.	In Progress
10-Oct-23	SOA IA	Reg 17-2023	Landfill inspection checklist	IA agreed to recommend that management review the checklist for adequacy and ensure compliant recordkeeping practices are in place.	High	Director Infrastructure and Manager Waste Services	IA agreed to recommend that management review the checklist for adequacy and ensure compliant recordkeeping practices are in place.	Regularise recordkeeping for checklist	31-Dec-23	Overdue	20 Nov 2023 Ongoing, all new checklists are going into the digital filing system location	SOA IA 20 Nov 2023 Transferred to In progress	In Progress
10-Oct-23	SOA IA	Reg 17-2023	Succession planning and retention of employees	IA recommends that effective succession planning and retention strategies be implemented, and programs be conducted towards improving the organisational maturity.	Medium	Manager Organisational Development	CEO and Manager OD commenced with the Shire's Succession Planning process in September 2022. A template was developed and populated by the Manager OD, guided by the CEO. The outcome of the succession planning session aligns with the individual development plans that were put in place at the time, by individual. Succession planning is again scheduled for Q2 (Oct-Dec) of the 2023/24 year as outlined in	Succession planning is scheduled for Q2 (Oct-Dec) of the 2023/24 year, as outlined in the OD 12-month plan and as endorsed by the CEO.	31-Dec-23	Overdue	2 Aug 2024 Will proceed once new CEO commences 20 Feb 2024 To commence succession discussions with DCEO 29 Jan 2024 Have retention working group in place and will pick up	SOA IA 20 Nov 2023 Email confirmation was verified. SOA IA 25 Oct 2023 Transferred to In Progress	Awaiting Validation by IA
10-Oct-23	SOA IA	Reg 17-2023	Succession planning and retention of employees	IA recommends that effective succession planning and retention strategies be implemented, and programs be conducted towards improving the organisational maturity.	Medium	Manager Organisational Development	The Shire's Recruitment and Retention Strategy is due for a review, which is scheduled for Q3 (Jan – March) for the 2023/24 year. The majority of recommendations as outlined in this strategy document and as endorsed by our CEO, have since been implemented.	The Shire's Recruitment and Retention Strategy is due for a review, which is scheduled for Q3 (Jan – March) for the 2023/24 year.	31-Mar-24	Not Due	2 Aug 2024 New Recruitment, Onboarding and Retention Strategy endorsed by Council New Your Total Rewards Story developed for staff and in use 29 Jan 2024 Have retention working group in place and will pick up	5 Aug 2024 BTP Comment: Awaiting verification by IA prior to closure SOA IA 20 Nov 2023 Transferred to In progress. Team email communication was verified SOA IA 25 Oct 2023 Not started	Awaiting Validation by IA
10-Oct-23	SOA IA	Reg 17-2023	Community gift cards/vouchers/gifts and grants	IA agreed to recommend that directive/procedure for gift cards/vouchers/gifts be documented and a register be developed for community grants.	Low	Manager Communities	Noted. To be completed directive/procedure/register by the end of October 2023.	Gift Cards Procedure will be developed and implement	31-Oct-23	Overdue	2 Aug 2024 Propose to update in the next quarter	5 Aug 2024 BTP Comment: In Progress	In Progress
10-Oct-23	SOA IA	Reg 17-2023	Community gift cards/vouchers/gifts and grants	Noted. To be completed directive/procedure/register by the end of October 2023.	Low	Manager Communities	Noted. To be completed directive/procedure/register by the end of October 2023.	Community Grants Register will be developed and implement	31-Oct-23	Overdue	2 Aug 2024 Propose to update in the next quarter	5 Aug 2024 BTP Comment: In progress SOA IA 25 Oct 2023	In Progress
10-Oct-23	SOA IA	Reg 17-2023	Onslow Airport	IA recommends that regular reviews of documents, regular risk assessments and regular inspections be carried out. IA also recommends that the audit log is regular maintained (Actions Checklist) and actioned in atimely manner to further strengthen controls.	Medium	Manager Airport Services	TSP Audit was not undertaken in 2020/21 due to COVID travel restrictions, noting limited aviation security auditors in WA. TSP independent biennial audit has now been undertaken in Aug 2023.	TSP biennial audit has now been included in the airports Annual Compliance checklist which is in development (this document will be finalised by 31 Oct 2023). This checklist will be monitored and actioned as needed, by Manager Airport Services (MAS), Airport Administrator and Airport Reporting Officer.	31-Oct-23	Overdue	2 Aug 2024 WIP. The document is complex and time-consuming to draft, incorporating regulation-specific compliance tasks in comment boxes. Delays due to busy schedule and understaffing; now with a dedicated compliance staff	5 Aug 2024 BTP Comment: In Progress SOA IA 25 Oct 2023 Transferred to In Progress	In Progress
10-Oct-23	SOA IA	Reg 17-2023	Onslow Airport	IA recommends that regular reviews of documents, regular risk assessments and regular inspections be carried out. IA also recommends that the audit log is regular maintained (Actions Checklist) and actioned in atimely manner to further strengthen controls.	Medium	Manager Airport Services	The mentioned security risk register is a subsidiary document that was developed to be incorporated into the 'Transport Security Risk Assessment' for the airport back in 2014 when the airport was applying to become a screening authority. There is no regulatory requirement to run a risk register for security operations. The risk register has been superseded by the airport TSP.	The security risk register mentioned above can l be expanded upon and incorporated into the airport's existing safety management system (SMS). The airport's SMS is currently a safety-based document; however, it can be amended to include security risks as well. The risks to be included will be the risks from the initial security risk register, updated security risks (if any) and passenger screening operational risk. This action could be completed by December 31, 2023.	31-Dec-23	Overdue	2 Aug 2024 Requested a quote from a consultant, but the price was excessive and not budgeted for. We will handle the work internally Delays due to busy schedule and understaffing; now with a dedicated compliance staff member, completion is prioritized 25 Oct 2023 Very complex which requires the redrafting of the airport SMS and requires the assistance of a consultant	5 Aug 2024 BTP Comment: In progress SOA IA 25 Oct 2023 Not started	In Progress

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Shire of Ashburton

Current Review Date:													
Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Original Due Date	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
10-Oct-23	SOA IA	Reg 17-2023	Onslow Airport	IA recommends that regular reviews of documents, regular risk assessments and regular inspections be carried out. IA also recommends that the audit log is regular maintained (Actions Checklist) and actioned in timely manner to further strengthen controls.	Medium	Manager Airport Services	Technical inspection findings identified during the technical inspection are categorised based on the assessed risk implication and the recommended time frame for implementation of corrective actions. [TABLE] The airport's 'actions checklist' is designed around the risk implications in the reports received from the inspectors.	The checklists will be reviewed to consider if a 'risk acceptance' criteria can be included.	31-Oct-23	Overdue	2 Aug 2024 Requested a quote from a consultant, but the price was excessive and not budgeted for. We will handle the work internally Delays due to busy schedule and understaffing; now with a dedicated compliance staff member, completion is prioritized 29 Jan 2024 Technical inspection due May 2024. Assessed risk and document templated to be review in conjunction with technical inspector Completion date end 31 May 2024 25 Oct 2023 The next technical inspection is not until June next year. The new risk acceptance will commence then (Requested to change Target Completion 30 June	5 Aug 2024 BTP Comment: In progress SOA IA 25 Oct 2023 Not started	In Progress
01-Feb-24	SOA IA	FMR -2024	Inadequate capitalization policy	Finance department should develop and implement an effective and efficient capitalisation policy.	Medium	Manager Finance / Manager Assets & Programming	Consultants have been engaged to assist the Shire with Asset Management maturity. My Data is the Asset Management system that the Shire is looking to consolidate all asset information into, including the Finance function of capitalisation. The use of My Data	Capitalisation Procedure and guidelines to be developed between Finance and Assets area	30-Jun-24		2 Aug 2024 The Asset Capitalisation Policy has been reviewed and currently awaiting draft approvals with the last step to be Council adoption late September early November dependent on Auditor approvals.	5 Aug 2024 BTP Comment: In Progress	In Progress
01-Feb-24	SOA IA	FMR -2024	Irregular assets capitalization and depreciation	Finance department should evaluate controls of fixed assets process including assets departments and projects, how to improve its efficiency of capitalisation and depreciation considering systems maintained by finance and assets department. MyData system's capability of integrating or semi integrating to finance system should also be considered to avoid duplication of work and improve capitalisation and depreciation frequency.	High	Manager Finance / Manager Assets & Programming	Refer to previous comment relating to Capitalisation Policy. The entire Asset Management Process is currently being reviewed and updated with a view to having a sound base by 1 July 2024. At this stage, My Data as single source of truth is actively being pursued and subject to no critical flaws being identified will be the sole Asset Register from 1 July 2024.	Finance and Assets Departments working together to create a unified single approach to asset management activities.	30-Jun-24		2 Aug 2024 The Asset Management Process has been reviewed, with myData as at 1 July 2024 set as the single source of truth. Recent asset valuation data (2024) has been verified and is in the final stages of analysis for input to myData finalising the Asset Register.	5 Aug 2024 BTP Comment: In progress	In Progress
01-Feb-24	SOA IA	Compliance	Private Swimming pool Barrier Inspection	Process needs to be monitored by the Executive Leadership Team (ELT) to make sure adequate resourcing and achievement of objectives.	Medium	Manager Regulatory Services	Please refer Report Management Comment	Report progress to ELT (As action requested by ELT 1st Feb 2024)	30-Dec-24				Not Started
30-Nov-23	IOAP	Procurement 24	Inadequate procurement risk assessment	Tender risk assessment has to be conducted for procurements above a threshold and include in PP100 or PP101. The evaluation criteria and weights need to consider the tender risk assessment	Low	Senior Procurement Officer	Agree that there is a need to assess risk for the Tender and the Companies submitting.	Produce a Tender Specific Risk Template	30-Dec-24		14 Aug 24 New Recommendations from IAOP Feb 24 added to list 14 Aug 24. No update requested/provided	14 Aug 2024 BTP Comment: Not started	Not Started
30-Nov-23	IOAP	Procurement 24	Inadequate quotations	Procurement department needs to monitor procurements less than \$100,000 to establish the adequacy of quotations.	Low	Senior Procurement Officer	Procurement have identified this and conduct weekly Purchase Order checks for all values. If required the requesting officer is contacted	Continue weekly checks	30-Jun-24		14 Aug 24 New Recommendations from IAOP Feb 24 added to list 14 Aug 24. No update requested/provided	14 Aug 2024 BTP Comment: Not started	Not Started
30-Nov-23	IOAP	Procurement 24	No previous experience records maintained/ considered in evaluation	Procurement department, together with projects needs to develop performance score system and implement to capture performance. These scores should be considered for future evaluation of the same contractors.	Low	Senior Procurement Officer	Procurement will investigate a scoring matrix. However this will be dependent on Project officers providing Project Management information that is currently not being adequately captured in the Shire.	Develop Scoring Matrix	30-Dec-24		14 Aug 24 New Recommendations from IAOP Feb 24 added to list 14 Aug 24. No update requested/provided	14 Aug 2024 BTP Comment: Not started	Not Started
30-Nov-23	IOAP	Procurement 24	Inadequate financial evaluation in RFT	Procurement needs to establish thresholds that requires submission of last audited financial statements or in absence of such needs to	Low	Senior Procurement Officer	Threshold amounts to be included into Purchasing and Procurement Policy, possibly in line with Compulsory Probity Auditor engagement	Request Clarification from ELT and add Financial Audits to Policy	30-Dec-24		14 Aug 24 New Recommendations from IAOP Feb 24 added to list 14 Aug 24. No update requested/provided	14 Aug 2024 BTP Comment: Not started	Not Started
30-Nov-23	IOAP	Procurement 24	Frequent variation requests	Procurement department needs to provide training of recording positive/ negative variance and projects need to consider variance records in strengthening	Low	Senior Procurement Officer	Contract management Training to be implemented with an emphasis on Variations and their importance. Unsure with the current financial modules the Shire	Increased Training	20-Aug-24		14 Aug 24 New Recommendations from IAOP Feb 24 added to list 14 Aug 24. No update requested/provided	14 Aug 2024 BTP Comment: Not started	Not Started
30-Nov-23	IOAP	Procurement 24	Untraceable RFT exemptions	Procurement department should implement exemptions tracing method and make sure all exemptions are following RFQ procedure.	Low	Senior Procurement Officer	This Request for Quotation was one of the reasons a Procurement Officer is to be responsible for the procurement process of all	Increased training	20-Aug-24		14 Aug 24 New Recommendations from IAOP Feb 24 added to list 14 Aug 24. No update requested/provided	14 Aug 2024 BTP Comment: Not started	Not Started
30-Nov-23	IOAP	Procurement 24	Inadequate refresher training	Procurement department should establish appropriate refresher training annually/ whenever significant change occur.	Low	Senior Procurement Officer	Procurement to rectify this and have annual training implemented, including this in their procedures. Additional staff may need to be	Annual refresher Training	26-Feb-25		14 Aug 24 New Recommendations from IAOP Feb 24 added to list 14 Aug 24. No update requested/provided	14 Aug 2024 BTP Comment: Not started	Not Started

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Shire of Ashburton

OAG							Current Review Date:					
Date of Report	Auditor	Audit Topic	Finding Topic	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Overdue Status	Client Progress Update	Moore Australia/ SOA IA Comment	Status After Assessment
30-Jun-21	OAG	Financial	Payroll controls	We recommend the Shire to: 1. Ensure that evidence of changes to the employee master file data are matched to the audit trail report as part of an independent review process; 2. Ensure that officers with a role to independently review changes in master file data do not also have the ability to modify master file data; 3. Implement a procedure to produce audit trail reports from SynergySoft, which are independently reviewed by an independent officer; and 4. Consideration be given to developing appropriate segregation of duties around payroll processes.	High	Manager Finance	A number of increase control measures have been implemented as part of the payroll review process, including the action of independent reviews of amendments to payroll Masterfile data. Review of payroll processes and procedures to be reviewed and documented, including addressing the above matters raised.	A number of increase control measures have been implemented as part of the payroll review process, including the action of independent reviews of amendments to payroll Masterfile data. Review of payroll processes and procedures to be reviewed and documented, including addressing the above matters raised.	Overdue			Not Started
30-Jun-21	OAG	ITGC	Network Access Management	The Shire should: Develop, document, and implement access management policies / procedures that should include: o Onboarding & offboarding of users, including privileged and generic accounts o Privileged and generic account management o Deactivate inactive/dormant accounts Ensure new user provisions are adequately documented and appropriate management approval is received before account creation Perform regular privilege user access reviews to ensure appropriate access is maintained Perform regular user access review to ensure terminated users is removed timely and identify and remove redundant or dormant accounts.	Medium	Manager ICT	A recent internal audit has identified the requirement for the review and development of several plans, including Cybersecurity Framework. Recommendations to be incorporated into the reviewed Cybersecurity Framework and will include access management principals. Operating procedures to be develop and aligned to the framework and include workflow and record keeping requirements for new, terminated and change in user accounts.	The Shire should: Develop, document, and implement access management policies / procedures that should include: o Onboarding & offboarding of users, including privileged and generic accounts o Privileged and generic account management o Deactivate inactive/dormant accounts Ensure new user provisions are adequately documented and appropriate management approval is received before account creation Perform regular privilege user access reviews to ensure appropriate access is maintained Perform regular user access review to ensure terminated users is removed timely and identify and remove redundant or dormant accounts.	Overdue	25 July 2023 - Procedure has been drafted. Still to be reviewed. Regularly reoccurring task has been set	25 July 2023 SOA IA - Transferred to In Progress	In Progress
30-Jun-21	OAG	ITGC	SynergySoft Financial Application Access Management	The Shire should: Document, review, approve and implement an access management policy that should include: o Onboarding & offboarding of users, including privileged and generic accounts o Generic account management o User access review requirements Ensure new user provisions are adequately documented and appropriate management approval is received before account creation Regularly review user access to the SynergySoft application to ensure terminated users are disabled timely. Ensure SoD requirements and controls are appropriately defined and implemented for the SynergySoft application.	High	Manager ICT	A recent internal audit has identified the requirement for the review and development of several plans, including Cybersecurity Framework Recommendations to be incorporated into the reviewed Cybersecurity Framework and will include access management principles for SynergySoft. Operating procedures to be develop and aligned to the framework.	The Shire should: Document, review, approve and implement an access management policy that should include: o Onboarding & offboarding of users, including privileged and generic accounts o Generic account management o User access review requirements Ensure new user provisions are adequately documented and appropriate management approval is received before account creation Regularly review user access to the SynergySoft application to ensure terminated users are disabled timely. Ensure SoD requirements and controls are appropriately defined and implemented for the SynergySoft application.	Overdue	25 July 2023 - Procedure has been drafted. Still to be reviewed. Regularly reoccurring task has been set	25 July 2023 SOA IA - Transferred to In Progress	In Progress
30-Jun-21	OAG	ITGC	IT Governance - Standards, Policies & Procedures	The Shire should: Develop, document, and publish policies / procedures / guidelines / governance documents as required and ensure these documents are appropriately governed Periodically review and endorse all Shire policies / procedures / governance documents ensuring they have a documented review frequency Define, document, and implement a risk management framework that outlines key risk management processes Design and implement the BCP and IT DRP to align with the Shire's recovery requirements (i.e., Recovery scenarios, processes, and timeframes). To help maintain the effectiveness of these plans it should be regularly reviewed and appropriately tested. The IT DRP tests should be used to confirm key IT systems and services can be recovered in accordance with the agreed recovery requirements.	Medium	Manager ICT	A recent internal audit has identified the requirement for the review and development of several plans, including. Shire's Business Continuity Management Arrangements ICT Disaster Recovery Plan Cybersecurity Framework The Shire has made a commitment to review and develop the above-mentioned documents, incorporating the required standards as well as developing and documenting processes and procedures.	The Shire should: Develop, document, and publish policies / procedures / guidelines / governance documents as required and ensure these documents are appropriately governed Periodically review and endorse all Shire policies / procedures / governance documents ensuring they have a documented review frequency Define, document, and implement a risk management framework that outlines key risk management processes Design and implement the BCP and IT DRP to align with the Shire's recovery requirements (i.e., Recovery scenarios, processes, and timeframes). To help maintain the effectiveness of these plans it should be regularly reviewed and appropriately tested. The IT DRP tests should be used to confirm key IT systems and services can be recovered in accordance with the agreed recovery requirements.	Overdue			Not Started
30-Jun-21	OAG	ITGC	Network Security Management	The Shire should: Develop, document, review and implement a security / vulnerability assessment policy / procedure which contains the requirement to periodically perform vulnerability assessments and periodic penetration (security) testing Define, document, and implement a process for performing periodic reviews of firewall event logs and updating firewall rules accordingly.	Medium	Manager ICT	A recent internal audit has identified the requirement for the review and development of the Shire's Cybersecurity Framework and supporting operating procedures that align with the WA Government Cybersecurity Policy and the Australia Government Information Security Manual. The framework will incorporate risk assessments, monitoring, testing, and reporting requirements, which will be included in operating procedures	The Shire should: Develop, document, review and implement a security / vulnerability assessment policy / procedure which contains the requirement to periodically perform vulnerability assessments and periodic penetration (security) testing Define, document, and implement a process for performing periodic reviews of firewall event logs and updating firewall rules accordingly.	Overdue	25 July 2023 - Procedure has been drafted. Still to be reviewed. Regularly reoccurring task has been set	25 July 2023 SOA IA - Transferred to In Progress	In Progress

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Shire of Ashburton

OAG								Current Review Date:				
Date of Report	Auditor	Audit Topic	Finding Topic	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Overdue Status	Client Progress Update	Moore Australia/ SOA IA Comment	Status After Assessment
30-Jun-21	OAG	ITGC	Physical and Environmental Security Management	The Shire should: Define and document a datacentre access policy / procedure which includes the requirements to periodically perform access reviews to ensure staff are only allowed access to the datacentre based on business needs Investigate and implement appropriate physical security measures to protect against unauthorised access and modification, such as access and operation logs Investigate and implement appropriate environmental measures to protect physical sites and the data centre against environmental threats and damage. Remove potentially flammable materials from the datacentre. Document and maintain a datacentre operator logbook to record any significant events/incidents in the Data Centre and corrective action taken to solve issues.	Medium	Manager ICT	The physical security of key assets (including server rooms) has been identified as a finding within a recent Cybersecurity audit. Security measures and access restrictions to be reviewed and incorporated into the Shire's Cybersecurity Framework and implemented. This will include the monitoring and reporting of approved security measures.	The Shire should: Define and document a datacentre access policy / procedure which includes the requirements to periodically perform access reviews to ensure staff are only allowed access to the datacentre based on business needs Investigate and implement appropriate physical security measures to protect against unauthorised access and modification, such as access and operation logs Investigate and implement appropriate environmental measures to protect physical sites and the data centre against environmental threats and damage. Remove potentially flammable materials from the datacentre. Document and maintain a datacentre operator logbook to record any significant events/incidents in the Data Centre and corrective action taken to solve issues.	Overdue	25 July 2023 - Reviewing possibilities	25 July 2023 SOA IA - Transferred to In Progress	In Progress
30-Jun-21	OAG	ITGC	Change Management	The Shire should consider: Developing, implementing, and endorsing a change management policy to ensure that changes are appropriately requested, logged, approved, and tested. Create a change register to track and monitor all changes made to the Shire's IT infrastructure Ensuring all changes are adequately documented containing: o Approvals o Implementation testing o Backout plans o Post implementation reviews.	Medium	Manager ICT	The recommendations will be included in the review and development of the Shire's Cybersecurity Framework. The framework will incorporate risk assessments, approvals, monitoring, testing, and reporting requirements, which will be included in operating procedures	The Shire should consider: Developing, implementing, and endorsing a change management policy to ensure that changes are appropriately requested, logged, approved, and tested. Create a change register to track and monitor all changes made to the Shire's IT infrastructure Ensuring all changes are adequately documented containing: o Approvals o Implementation testing o Backout plans o Post implementation reviews.	Overdue	25 July 2023 - Procedure has been drafted. Still to be reviewed.	25 July 2023 SOA IA - Transferred to In Progress	In Progress
30-Jun-22	OAG	Financial	Fixed Asset Depreciation Rates	The Shire should conduct a full review of the FAR to verify that the depreciation rates are consistent with the Shire's depreciation policy. The review should also include an evaluation of the asset's useful life.	High	Manager Finance	A full review of depreciation rates will be conducted in FY23 and will utilise the infrastructure valuation report due by 30 June 2023. This valuation report containing useful life and valuation will form a major part of the depreciation rates assessment.	The Shire should conduct a full review of the FAR to verify that the depreciation rates are consistent with the Shire's depreciation policy. The review should also include an evaluation of the asset's useful life.	Overdue			Not Started
30-Jun-22	OAG	ITGC	Risk management	The Shire should: Define, document, and implement an IT risk management policy and/or procedure Create an IT risk register and use it to track/manage newly identified and existing risks. It should also detail their mitigating controls and resolution status.	Medium	Manager ICT	A recent internal audit has identified the requirement for the review and development of several plans, including Cybersecurity Framework. Recommendations have been incorporated into the reviewed Cybersecurity Framework including assessment of Risk. The document is in its final review to ensure it meets all applicable standards, best practices and matters raised within the audit process Operating procedures to be developed and aligned to the frameworks and include workflow and record keeping requirements for An internal audit road map 2023-2026 has been developed and includes implementing Risk Management Framework ISO 31000, including develop / update operational risk registers. This will include IT Risk Management.	The Shire should: Define, document, and implement an IT risk management policy and/or procedure Create an IT risk register and use it to track/manage newly identified and existing risks. It should also detail their mitigating controls and resolution status.	Not Due			Not Started
30-Jun-22	OAG	ITGC	Business continuity management	The Shire should: Define, document and publish a backup policy Develop, document, test and publish a Disaster Recovery Plan and IT Business Continuity Plan Develop, document and publish an Incident Response Plan. Periodically review the above mentioned plans to ensure that they are relevant and adequate to support the Shire's operations.	Medium	Manager ICT	A recent internal audit has identified the requirement for the review and development of several plans including. Business Continuity Management Arrangements ICT Disaster recovery Plan Cybersecurity Framework. The Shire has made a commitment to review and develop the above-mentioned documents, incorporating the required standards as well as developing and documenting processes and procedures. The Cybersecurity Framework document has been prepared and is in its final review to ensure it meets all applicable standards, best practices and matters raised within the audit process. Business Continuity Plans and ICT disaster recovery plan is scheduled to commence development shortly.	The Shire should: Define, document and publish a backup policy Develop, document, test and publish a Disaster Recovery Plan and IT Business Continuity Plan Develop, document and publish an Incident Response Plan. Periodically review the above mentioned plans to ensure that they are relevant and adequate to support the Shire's operations.	Overdue			Not Started
30-Jun-23	OAG	Financial	Completeness of road data	The Shire should review and implement processes that involve a thorough examination of how roads data is maintained and updated in the Shire roads database.	High	Manager Assets and Programming/ Manager Finance	Noted: A review of systems, processes and controls will be conducted and updated accordingly. The Shire has already engaged an Asset Management Consultant to assist with this process.	Noted: A review of systems, processes and controls will be conducted and updated accordingly. The Shire has already engaged an Asset Management Consultant to assist with this process.	Not Due			Not Started

OA IA 2 Aug 2024

Shire of Ashburton

OAG								Current Review Date:				
Date of Report	Auditor	Audit Topic	Finding Topic	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Overdue Status	Client Progress Update	Moore Australia/ SOA IA Comment	Status After Assessment
30-Jun-23	OAG	Financial	Incorrect depreciation rate used on new additions added to existing infrastructure assets	It is recommended the Shire review and revise their depreciation methodology to ensure it aligns with the Shire's Policies, depreciation expense should accurately be applied and reflect the remaining useful life of assets. Conducting a comprehensive assessment of the affected assets and adjusting the depreciation charges accordingly will help rectify the inaccuracies and improve the reliability of financial reporting. It is also recommended the Shire ensures it applies its revised depreciation methodology correctly in future years, with depreciation expense to be charged to assets over the assets useful life and in accordance with Shire's policies.	High	Manager Assets and Programming/ Manager Finance	Noted: A full review of depreciation rates to be conducted using the 2023 infrastructure valuation data. A review of system, processes and controls to be conducted to ensure correct useful lives are being applied to new additions and depreciation is correctly applied.	Noted: A full review of depreciation rates to be conducted using the 2023 infrastructure valuation data. A review of system, processes and controls to be conducted to ensure correct useful lives are being applied to new additions and depreciation is correctly applied.	Not Due			Not Started
30-Jun-23	OAG	Financial	Completeness of Data provided to the valuer	Ensure that all relevant and updated information, including any additions or modifications to the asset base, is communicated to the valuer. This includes changes occurring throughout the fiscal year to ensure that the valuer is working with the most current and accurate dataset.	High	Manager Assets and Programming	Noted: A review of systems, processes, and controls to be conducted and updated accordingly to ensure all new assets added during the fiscal year is provided to the valuer. It is noted Management Valuations were conducted on assets excluded from the independent valuer valuations to ensure the Shire was compliant with valuation requirements.	Noted: A review of systems, processes, and controls to be conducted and updated accordingly to ensure all new assets added during the fiscal year is provided to the valuer. It is noted Management Valuations were conducted on assets excluded from the independent valuer valuations to ensure the Shire was compliant with valuation requirements.	Not Due			Not Started
30-Jun-23	OAG	Financial	Review of general journals	We recommend that all manual journals raised undergo independent appropriate level of review from a staff member.	Medium	Manager Finance	Noted: As an internal control measure the Finance Manager has ensured that all journals processed are independently reviewed, as recommended by the Auditors in 2022. It should be noted that the Finance Manager was acting in the position of Director Corporate Services for the majority of the year, limiting the staff with higher hierarchy. A review of internal controls surrounding processing of journals to be develop and documented, aligning to the Shire's risk management objectives.	Noted: As an internal control measure the Finance Manager has ensured that all journals processed are independently reviewed, as recommended by the Auditors in 2022. It should be noted that the Finance Manager was acting in the position of Director Corporate Services for the majority of the year, limiting the staff with higher hierarchy. A review of internal controls surrounding processing of journals to be develop and documented, aligning to the Shire's risk management objectives.	Not Due			Not Started
30-Jun-23	OAG	Financial	Recording/ Provision of annual leave	The Shire should regularly review and reconcile annual leave records, implement robust internal controls, and ensure compliance with relevant labour laws and regulations. Additionally, promptly addressing and rectifying any identified inconsistencies is crucial to maintaining trust and transparency within the Shire.	Low	Manager Finance	Noted: Synergy Payroll system limitations did not allow for full internal control measures. The new payroll system has been set up with internal control measures to ensure that all leave is processed and approved via the leave system and not entered directly into the timesheets. Payroll System is to go live late December 2023 and a full review of processes and controls will be documented in line with new system capabilities.	Noted: Synergy Payroll system limitations did not allow for full internal control measures. The new payroll system has been set up with internal control measures to ensure that all leave is processed and approved via the leave system and not entered directly into the timesheets. Payroll System is to go live late December 2023 and a full review of processes and controls will be documented in line with new system capabilities.	Not Due			Not Started



Agenda Item 6.2 - Attachment 2

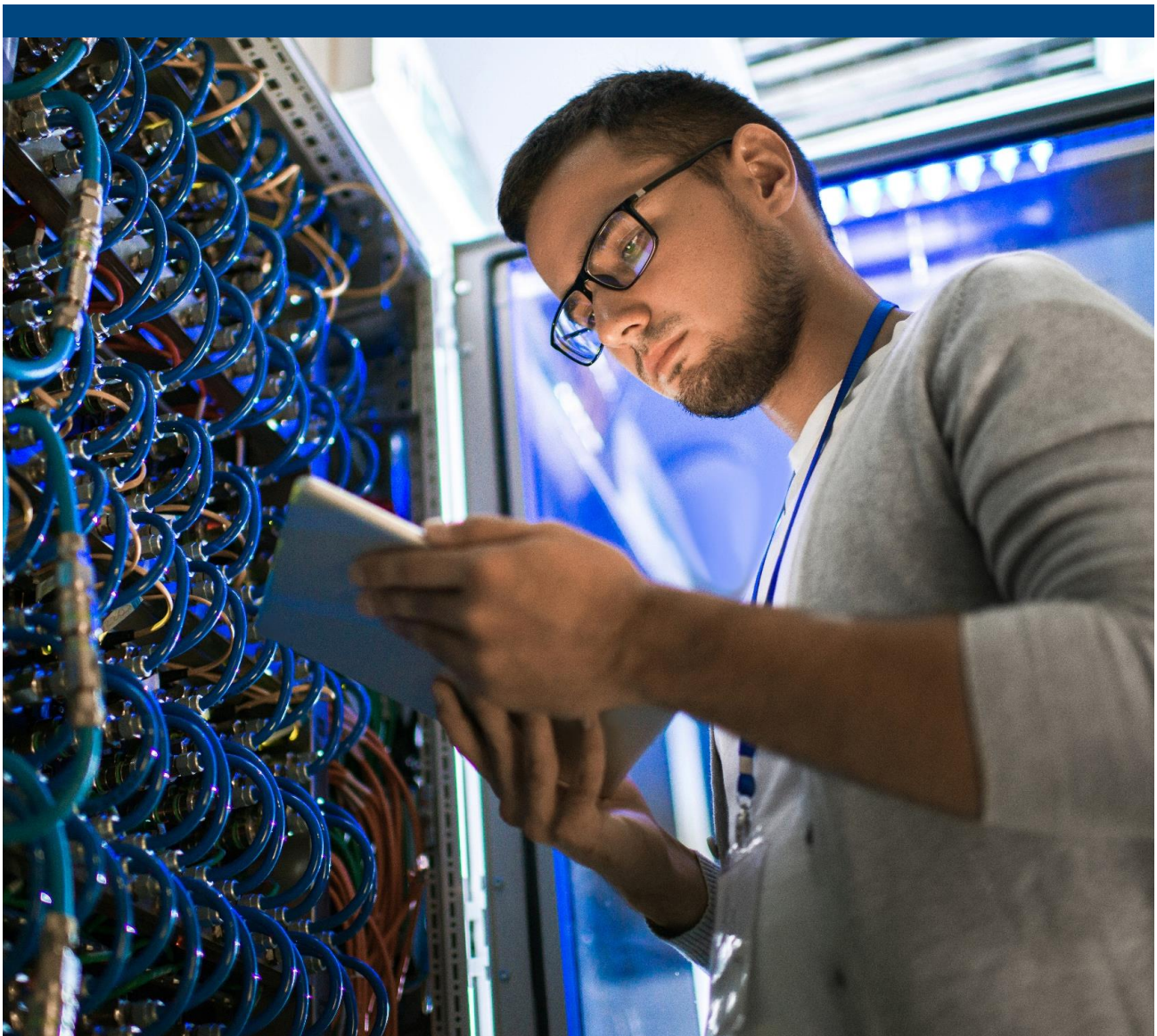
Local Government Physical Security of Server Assets
Performance Audit June 2024



Report 20: 2023-24 | 24 June 2024

PERFORMANCE AUDIT

Local Government Physical Security of Server Assets



**Office of the Auditor General
Western Australia**

Audit team:

Aloha Morrissey
Adam Dias
Paul Tilbrook
Talia Channer
Lyndsay Fairclough
Information Systems Audit team

National Relay Service TTY: 133 677
(to assist people with hearing and voice impairment)

We can deliver this report in an alternative format for those with visual impairment.

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The Office of the Auditor General acknowledges the traditional custodians throughout Western Australia and their continuing connection to the land, waters and community. We pay our respects to all members of the Aboriginal communities and their cultures, and to Elders both past and present.

Image credit: shutterstock.com/SeventyFour

WESTERN AUSTRALIAN AUDITOR GENERAL'S REPORT

Local Government Physical Security of Server Assets

Report 20: 2023-24
24 June 2024

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**THE PRESIDENT
LEGISLATIVE COUNCIL**

**THE SPEAKER
LEGISLATIVE ASSEMBLY**

LOCAL GOVERNMENT PHYSICAL SECURITY OF SERVER ASSETS

This report has been prepared for submission to Parliament under the provisions of sections 24 and 25 of the *Auditor General Act 2006*.

Performance audits are an integral part of my Office's overall program of audit and assurance for Parliament. They seek to provide Parliament and the people of WA with assessments of the effectiveness and efficiency of public sector programs and activities, and identify opportunities for improved performance.

This audit assessed whether 16 non-metropolitan local government entities of varying sizes effectively manage access to server assets and protect them from environmental hazards.

I wish to acknowledge the entities' staff for their cooperation with this audit.

A handwritten signature in black ink, appearing to be 'C Spencer'.

Caroline Spencer
Auditor General
24 June 2024

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Auditor General's overview

Many local government entities rely on server assets to run their information technology (IT) systems and applications that are integral to their operations. These server assets need to be protected against physical and environmental hazards that can disrupt continuous IT service and the delivery of services to the community.



All 16 local government entities in this audit had physical server assets located onsite, but each had their own unique IT needs, risks and resources. It was encouraging to find that all the audited local government entities had some protections in place to restrict physical access to their server assets and reduce the risk of accidental or malicious damage. They had also taken steps to reduce the impact of environmental hazards such as high temperatures and humidity on these assets. However, we found many audited local government entities could better use and maintain the protections they have and improve their monitoring of hazards.

We have raised similar issues in our previous information systems audits of local government entities. Most recently, our 2022-23 information systems audits found 45% of the local government entities we tested needed to improve the physical security of their server assets.¹

This report includes recommendations and better practice principles that local government entities of all sizes can use to protect their server assets against damage.

¹ Office of the Auditor General, [Local Government 2022-23 – Information Systems Audit Results](#), OAG, 27 May 2024.

Executive summary

Introduction

This audit assessed whether 16 non-metropolitan local government entities (entities) of varying sizes effectively manage access to server assets and protect them from environmental hazards. The entities were from the Gascoyne, Goldfields, Great Southern, Kimberley, Pilbara and Wheatbelt regions.

Detailed findings were provided to each entity. However, we have anonymised findings throughout this report to not compromise the security and continuity of their systems and information.

Background

Entities rely on server assets to run key IT systems and applications. Our 2022-23 local government information systems audits found a substantial proportion (45%) of the entities we tested needed to improve the physical security of these assets.² Inadequate protections can lead to accidental or malicious damage; compromising the security of an entity's information and its ability to maintain continuous IT service.

Server assets include the entities' servers, as well as storage devices and network equipment. These assets provide shared access to applications, such as web pages, email and back office systems that are integral to the delivery of services to the community. In this report we have used the term server room to describe where the server assets are housed, whether this is in a dedicated server room or a shared space.

There are several actions entities can take to protect their server assets (Appendix 1). Server assets should be mounted in specialised enclosures called a rack. These racks protect the assets, channel airflow, and include cable management systems. Some racks can also include power distribution and protection, cooling fans and sensors for monitoring temperature and humidity.

It is good practice to house racks in a dedicated server room. However, when this is not possible, and server assets are housed in shared spaces, they require additional controls such as cages to prevent unauthorised access.

To protect server assets, the rooms and racks should have the following:

- access controls to prevent malicious or accidental damage
- fire detection and suppression to limit fire damage
- power filtering and redundancy through uninterruptible power supplies (UPS³). This may be augmented with a generator
- room or rack-based cooling to remove heat generated by the server assets
- environmental sensors throughout the room to measure temperature and humidity and issue alerts when these vary beyond acceptable limits
- cable management systems to improve access, workplace safety, fault detection and airflow within a rack.

² Office of the Auditor General, [Local Government 2022-23 – Information Systems Audit Results](#), OAG, 27 May 2024.

³ A UPS is a device containing batteries that provides backup power and protection to server assets when the mains power fails or fluctuates.

Conclusion

All 16 audited entities had controls to partly protect their server assets from unauthorised access and environmental hazards. Despite the audited entities' different IT requirements and facilities, most need to better protect their server assets.

Half the audited entities need to improve their storage and tracking of the keys that give access to server assets. While all entities used racks, only four made appropriate use of them. Twelve entities had racks that were missing panels or had unlocked doors unnecessarily exposing the server assets to damage from anyone passing through the server room.

All audited entities had some environmental controls in place to cool their server assets, extinguish a fire and manage power interruptions. However, most did not service or test all their controls to ensure they worked as expected. Concerningly, nine did not have adequate systems to alert them of a fire in the server room, or in some cases, anywhere in the building. Only three entities appropriately monitored their server room environment for high temperature and humidity.

Key findings

The entities we visited had varying approaches to storing and securing their server assets, reflecting the different IT needs and the available facilities. Five entities had dedicated server rooms, only accessible by selected staff. Eight entities kept their server assets in multipurpose rooms accessible to all staff with no public access. The other three entities stored their server assets in areas that were accessible by the public.

Entities can better control access to their server assets

While most entities had taken steps to protect server assets, more can be done to tighten access and reduce the risk of both accidental and malicious damage.

Keys are not always well managed

Half of the audited entities need to improve how they store and track the keys that grant access to server rooms and racks. While all had installed locks to help secure their server assets, including some with electronic systems (Case study 1), common issues we found included:

- Physical keys kept in easily accessed areas such as office drawers, in the rack door lock, or on pegs next to the server rack.
- A record of who used physical keys to access server assets was not maintained. Without this kind of record, entities cannot easily track when physical keys are used and returned.
- A lack of policy or procedure to help guide staff on key allocation and usage.

Locks on server rooms and racks are effective ways to control access, but their success depends on proper key management.

Case study 1: Electronic locks

Electronic access locks offer advantages over traditional, physical keys. As they grant access using a code or swipe card instead of a physical key, entities can quickly and easily allocate and revoke access. Further, as these systems keep an entry log, entities can easily track who has unlocked the room.

Four of the entities had installed these systems.



Source: OAG

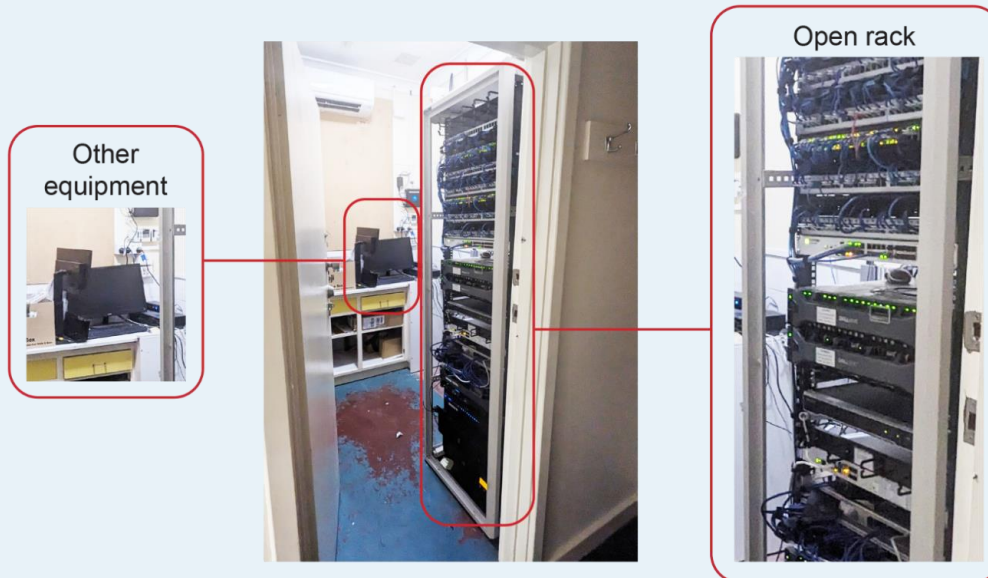
Figure 1: Photo of electronic lock

Servers, network devices and cabling were exposed

All entities used server racks, but only four made appropriate use of them. Twelve entities had racks with missing panels or unlocked doors (Case study 2). One of these entities had installed a rack that was too small for their server and as the asset extended beyond the frame, the door could not be attached. In some cases, we observed the missing panels being stored nearby. If the server assets are not enclosed, they are exposed to unauthorised

access that can lead to accidental or malicious damage from anyone passing through the area.

Case study 2: Open rack risks damage



Source: OAG

Figure 2: Photo of rack with no panels

One entity had not enclosed its server assets at all.

While the rack was kept in a locked room, the room was also used to store other equipment. This meant staff accessed the room for various reasons, exposing the server to increased traffic and risk of accidental damage.

Server assets could be better protected against heat, moisture, fire and other environmental hazards

All entities' server rooms had some environmental controls in place to cool their server assets, extinguish a fire and manage power interruptions. More can be done to monitor emerging hazards and service environmental controls.

Detection of environmental hazards could be improved

Nine entities did not have adequate fire alert systems. This included not having smoke detectors in their server room or anywhere in the building, and smoke detectors that were not monitored externally. A lack of warning systems delays response and places server assets and office staff at increased risk.

Only three entities monitored the temperature and humidity of their server rooms. Monitoring room conditions is important as inappropriate temperatures or excessive humidity can lead to poor performance and damage to server assets. We note that 10 entities did monitor the internal temperature of their server assets.

While all the entities had a UPS, four were not monitoring the unit to be warned of power irregularities. Failure to monitor may not give the entity enough time to gracefully shut down

its server assets prior to losing power which may result in information loss or equipment damage.

Environmental controls were not regularly serviced

Entities did not adequately service and test their environmental controls to ensure they would work when needed (Case study 3). We found:

- only one entity regularly serviced their UPS. At three other entities the UPS or its batteries had reached the end of useful life and needed replacing
- three entities had not regularly serviced the air conditioners that kept their server assets cool
- fire extinguishers at four entities were not inspected every six months, as recommended by the Australian Standards⁴.

Case study 3: Failure of power backups

During a recent power outage an entity's backup power systems failed. This damaged a critical storage device and required data and systems to be restored from backups. It took the entity three weeks to fully recover its IT systems.

While this entity had both a UPS and a generator in place to protect its server assets, these had not been adequately tested.

When the mains failed, the UPS operated as expected and supplied emergency power for a short period of time. However, the generator failed to start and once the UPS battery ran flat the server assets stopped operating.

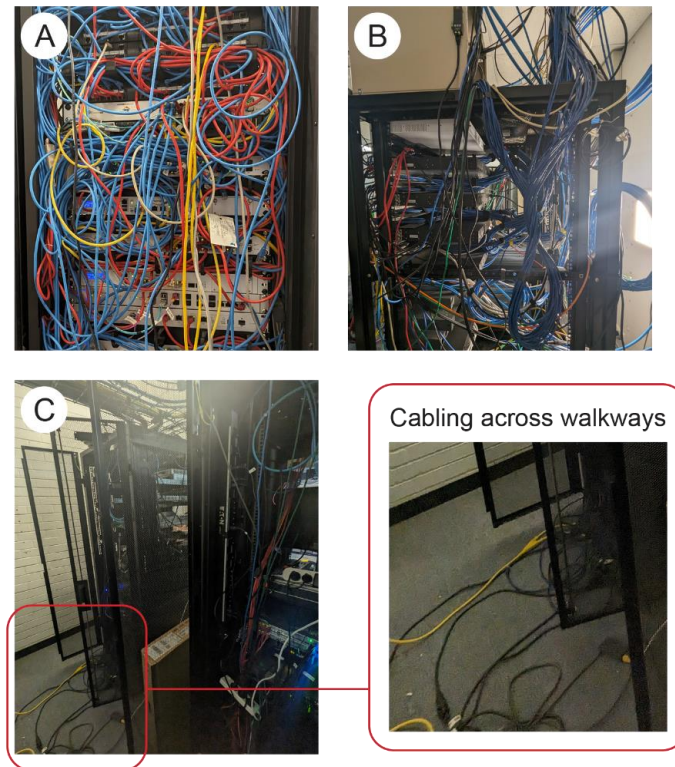
Network and power cabling could be improved

Fourteen entities did not have structured cable management or had not used this effectively. Structured cabling is a system of cable ties and supports that minimise the risk of hazards posed by uncontrolled cables. We observed:

- excessive cabling within the racks, which may restrict airflow to cool the server assets and increase time to diagnose issues (Figure 3, A)
- unsupported cables which may wear electrical connectors and cause failures (Figure 3, B)
- cabling across walkways which create tripping hazards and may result in outages (Figure 3, C).

Disorganised cabling can cause accidents, outages or additional wear and tear on the server assets.

⁴ AS1851-2012 Routine service of fire protection systems and equipment.



Source: OAG

Figure 3: Photos of poor cabling**Server rooms are not kept clear of other hazards**

Seven entities have not appropriately managed risks when storing other items in their server rooms or near their server assets when these are housed in a multipurpose room (Case study 4). We observed:

- flammable or explosive items, such as cardboard and pressurised containers, stored close to and between racks
- boxes blocking the air conditioner
- dust building up on server assets which can cause overheating, static electricity and damage the assets.

Other items should be kept to a minimum and stored appropriately, and the room kept clean to reduce the likelihood of damage from fire, pests, overheating and electrical issues.

Case study 4: Excess items stored in the room could increase the risk and extent of a fire

Source: OAG

Figure 4: Photo of high risks items stored in the server room

One entity stored an excessive amount of non-server related items including wood and cardboard in the server room. Better practice would be to minimise storage in the server room to reduce the likelihood and extent of a fire.

Recommendations

The 16 audited entities should consider the key elements outlined in Appendix 1 to manage access and protect the physical security of their server assets. In particular:

1. Improve their physical security access controls to prevent accidental and malicious damage to their server assets. Consideration should be given to:
 - a. management of keys to ensure only approved staff can access the server assets and access is logged and monitored
 - b. use of racks to fully enclose server assets
 - c. additional physical controls where racks are accessible to the public.
2. Improve their environmental controls to protect server assets by:
 - a. implementing and monitoring environmental changes such as fire, temperature and humidity
 - b. regularly servicing all environmental controls
 - c. implementing structured cable management
 - d. minimising or better managing the storage of other items around or near their server assets.

In accordance with section 7.12A of the *Local Government Act 1995*, the 16 audited local government entities should prepare a report on any matters identified as significant to them for submission to the Minister for Local Government within three months of this report being tabled in Parliament, and within 14 days of submission publish it on their website.

Response from the audited entities

Audited entities generally accepted the recommendations and confirmed that where relevant, they will improve their controls to better protect their server assets against unauthorised access and environmental hazards.

Audit focus and scope

This audit assessed whether 16 non-metropolitan local government entities effectively manage access to server room assets and protect them from environmental hazards. The entities were from the Gascoyne, Goldfields, Great Southern, Kimberley, Pilbara and Wheatbelt regions.

Our criteria were:

- Are server room assets protected from unauthorised access?
- Are appropriate environmental controls in place to protect server rooms?

We visited each entity and:

- reviewed policies and procedures
- conducted interviews with key staff
- carried out physical inspection of server rooms and environmental controls
- examined relevant documents and records.

This was an independent performance audit, conducted under section 18 of the *Auditor General Act 2006*, in accordance with Australian Standard on Assurance Engagements ASAE 3500 *Performance Engagements*. We complied with the independence and other ethical requirements related to assurance engagements. Performance audits focus primarily on the effective management and operations of entity programs and activities. The approximate cost of undertaking the audit and reporting was \$288,500.

Appendix 1: Better practice principles – key elements of physical security of server assets

The table below shows key elements to help manage access and protect the physical security of server assets. These elements are not exhaustive and entities should assess their own physical security needs.

Key elements	Description
Policies and procedures	<p>Policies and procedures identify the server assets that need protection and how the risk of damage, compromise or loss will be minimised. Areas to consider include:</p> <ul style="list-style-type: none"> access to server rooms and racks environmental controls including their servicing and monitoring server room upkeep. <p>Policies should be easily accessible by staff, clearly outline roles and responsibilities and detail appropriate record keeping.</p>
Access controls	<p>Only authorised staff should have access to server assets. Access controls restrict and manage who can access server assets and include:</p> <ul style="list-style-type: none"> physical barriers to entry to the server racks and room. Server assets should be suitably secured and enclosed user access management. Allocated keys, cards and fobs should be stored securely and tracked. Access should be removed when an individual's employment or engagement ends or they have a change in role routinely checking access to identify instances of unauthorised entry.
Environmental controls	<p>Environmental controls protect server assets from environmental hazards and can include:</p> <ul style="list-style-type: none"> UPS and backup generators to provide emergency power in the event of a power failure rack based cooling (fans) or room air conditioning to prevent overheating fire detection and suppression to limit fire damage <ul style="list-style-type: none"> fire detection can include smoke detectors and very early smoke detection apparatus (VESDA) fire suppression can include fire extinguishers, dry pipe sprinkler systems and gas suppression systems room sensors to detect water and measure if temperature and humidity vary beyond acceptable limits. <p>Environmental controls should be regularly serviced and tested to ensure they will work when needed.</p>
Server racks	<p>Server racks provide a framework to protect and organise server assets. Entities should install racks that meet their individual needs including the type of facility, available space and the size, power, cooling and cabling requirements of server assets. Server racks should be kept locked to prevent unauthorised access.</p> <p>Racks can come preconfigured with power protection and distribution, cooling, cable management and environmental monitoring.</p>
Cable management	<p>Cable management systems improve access to server assets and fault detection and airflow within a rack. Cables should be appropriately labelled, colour coded and secured using structured cabling.</p>

Source: OAG

Auditor General's 2023-24 reports

Number	Title	Date tabled
20	Local Government Physical Security of Server Room Assets	24 June 2024
19	Local Government Management of Purchasing Cards	12 June 2024
18	Local Government 2022-23 Financial Audit Results	6 June 2024
17	Local Government IT Disaster Recovery Planning	31 May 2024
16	Local Government 2022-23 – Information Systems Audit Results	27 May 2024
15	Government Campaign Advertising	15 May 2024
14	State Government 2022-23 – Information Systems Audit	12 April 2024
13	Provision of Supplementary Information to the Standing Committee on Estimates and Financial Operations – Opinions on Ministerial Notifications	5 April 2024
12	Digital Identity and Access Management – Better Practice Guide	28 March 2024
11	Funding for Community Sport and Recreation	21 March 2024
10	State Government 2022-23 – Financial Audit Results	20 December 2023
9	Implementation of the Essential Eight Cyber Security Controls	6 December 2023
8	Electricity Generation and Retail Corporation (Synergy)	8 November 2023
7	Management of the Road Trauma Trust Account	17 October 2023
6	2023 Transparency Report: Major Projects	2 October 2023
5	Triple Zero	22 September 2023
4	Staff Exit Controls for Government Trading Enterprises	13 September 2023
3	Local Government 2021-22 – Financial Audit Results	23 August 2023
2	Electricity Generation and Retail Corporation (Synergy)	9 August 2023
1	Requisitioning of COVID-19 Hotels	9 August 2023

**Office of the Auditor General
Western Australia**

7th Floor Albert Facey House
469 Wellington Street, Perth

T: 08 6557 7500
E: info@audit.wa.gov.au

www.audit.wa.gov.au



@OAG_WA



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for Western Australia



Agenda Item 6.3 - Attachment 1

Bushfire Risk Management Plan



Bushfire Risk Management Plan

2024 - 2026





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Document Control

Document name	Shire of Ashburton Bushfire Risk Management Plan	Current version	1.0
Document owner	CEO Shire of Ashburton	Issue date	
Document location	Shire of Ashburton	Next review date	

Document Endorsements

This Bushfire Risk Management Plan has been assessed and endorsed by the Office of Bushfire Risk Management as consistent with the standards detailed within the Guidelines for Preparing a Bushfire Risk Management Plan.

The approval of the Bushfire Risk Management Plan by the Shire of Ashburton Council signifies support of the plan's implementation and commitment to working with risk owners to manage bushfire risk. Approval does not signify acceptance of responsibility for risk treatments or outcomes on land that is not managed by the Shire of Ashburton.

Local Government	Representative	Signature	Date
Shire of Ashburton	CEO		

Version	Date	Author	Section
1.0	July 2024	Sarah Conlin	Entire Plan

Publication Information

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1. Introduction

1.1. Background

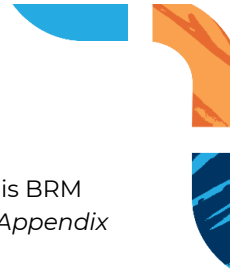
This Bushfire Risk Management (BRM) Plan provides contextual information to inform a structured approach to identifying, assessing, prioritising, monitoring and treating bushfire risk. The document encompasses all land within the Shire of Ashburton and has been written on behalf of all stakeholders within that area. The BRM Plan is informed by consultation and communication with land and asset managers that has occurred throughout its development to ensure an informed and collaborative approach to managing bushfire risk.

The BRM Plan has been prepared by the Shire of Ashburton with due consideration of the requirements stated in the *Guidelines for Preparing a Bushfire Risk Management Plan* (the Guidelines) published by the Office of Bushfire Risk Management (OBRM) including the principles described in *ISO 31000:2018 Risk Management*.

1.2. Objectives of the Bushfire Risk Management planning program

The BRM planning program supports Local Governments to reduce the threat posed by bushfire. The Shire of Ashburton BRM Plan will contribute to achieving the objective of the BRM program by:

- Guiding and coordinating a cross-tenure, multi-stakeholder approach to BRM planning.
- Facilitating the effective use of the financial and physical resources available for BRM activities.
- Supporting integration between risk owners, strategic objectives and tactical outcomes.
- Documenting processes used to monitor and review the implementation of treatment plans to ensure they are adaptable and that risk is managed to an acceptable level.



1.3. Legislation, Policy and Standards

Legislation, policy and standards that were applied in the development of this BRM Plan can be found in the *Bushfire Risk Management Planning Handbook – Appendix 1 – Summary of Related Legislation, Policy and Guidelines*.

Other Shire of Ashburton policies, guidelines and standards relevant to this BRM Plan include:

- Shire of Ashburton Bush Fire Policy
- Shire of Ashburton Corporate Business Plan 2023-2027
- Shire of Ashburton Firebreak Notice
- Shire of Ashburton Local Emergency Management Arrangements 2021
- Shire of Ashburton Local Government Heritage Inventory 2019
- Shire of Ashburton Local Planning Strategy 2021
- Shire of Ashburton Strategic Community Plan 2022-2032

2. The Risk Management Process

The BRM planning process is a cycle of understanding the context and assessing and treating risks (Figure 1). Each of these steps is informed by communication and consultation and supported by monitoring and review. The three products produced during the BRM planning process are the BRM Plan, Asset Risk Register and Treatment Schedule.

Further details on the guiding principles and process for the development of this plan can be found in Chapter 2 of the Guidelines.

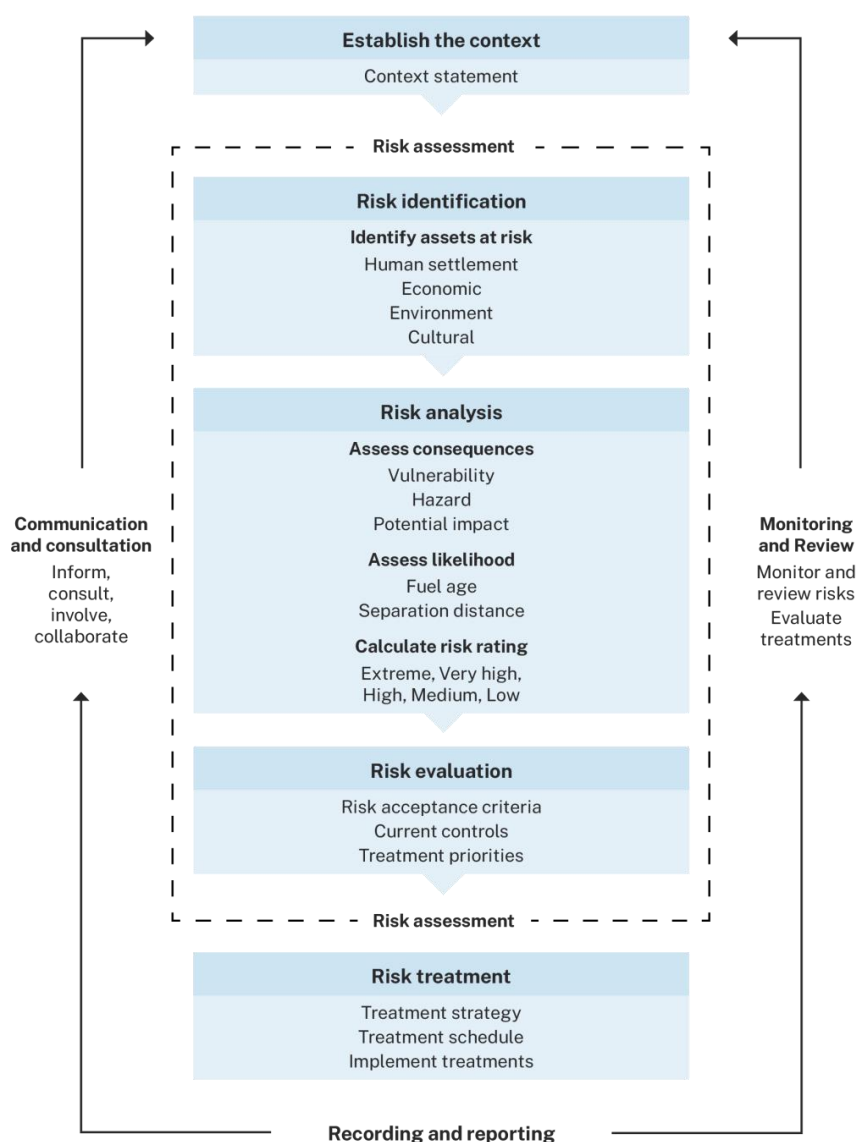


Figure 1 - The Bushfire Risk Management planning process



2.1. Roles and Responsibilities

The roles and responsibilities of the key stakeholders involved in the development of the BRM Plan are outlined in Table 1.

Table 1 - Roles and responsibilities in the Bushfire Risk Management planning process

Stakeholder	Role and Responsibilities
Local Government	<ul style="list-style-type: none"> • Custodian of the Bushfire Risk Management Plan (BRM Plan) • Coordinate the development and ongoing review of the integrated BRM Plan. • Undertake bushfire risk assessment of local government area. • Submit the draft BRM Plan to OBRM for review and endorsement. • Develop and implement a Treatment Schedule for local government managed land. • Encourage risk owners to treat identified risks.
Department of Fire and Emergency Services (DFES)	<ul style="list-style-type: none"> • Contribute to the development and implementation of the BRM Plan. • Facilitate involvement of state and federal government agencies in the BRM planning process. • Undertake treatments on Unmanaged Reserves and Unallocated Crown Land within gazetted town sites. • By agreement, implement treatment strategies for other land managers. • Endorse BRM Plans as consist with the Guidelines, BRM Program and dynamic risk environment. • Administer the Mitigation Activity Fund Grants Program.
Department of Biodiversity, Conservation and Attractions (DBCA)	<ul style="list-style-type: none"> • Contribute to the development of the BRM Plan. • Implement their treatment programs on DBCA managed land. • Provide advice on environmental assets and appropriate treatment strategies for their protection.
Department of Planning, Lands and Heritage (DPLH)	<ul style="list-style-type: none"> • Identify managed assets. • Provide advice on management of Aboriginal Cultural Heritage.
Other State and Commonwealth Government agencies and public utilities	<ul style="list-style-type: none"> • Identify managed assets. • Provide advice on current risk treatment programs. • Contribute to the development of BRM Plans. • Undertake treatments on lands they manage.
Corporations and private land owners	<ul style="list-style-type: none"> • Identify managed assets. • Provide advice on current risk treatment programs. • Undertake treatments on lands they manage.



2.2. Communication and Consultation

Communication and consultation throughout the risk management process is fundamental to the development, implementation and review of the BRM Plan. To ensure appropriate and effective communication occurs with relevant stakeholders at each stage of the BRM planning process, a Communication Plan has been prepared (Appendix C). A Communication Log summarising important stakeholder interactions has also been provided.



3. Establishing the Context

3.1. Strategic and Corporate Framework

The Shire of Ashburton's Strategic Community Plan 2022-2032 outlines the vision, aspirations and objectives for the Shire of Ashburton for the 10 year period in which it covers and is the principal guiding document for the strategic plan of the Shire.

The vision for the Shire of Ashburton is:

We will be a welcoming, sustainable and socially active district, offering a variety of opportunities to community.

The Shire of Ashburton Corporate Business Plan 2023-2027 delves further into the objectives of the Shire which have been set to align with the community's values and include:

1. *People*
2. *Place*
3. *Prosperity*
4. *Performance*

The Bushfire Risk Management Plan (BRM Plan) will fit into the Shire of Ashburton's Integrated Planning and Reporting Cycle (Figure 2) as one of the plans which make up the informing strategies to aid in informing the Strategic Community Plan and Corporate Business Plan in the future.

The development of the BRM Plan is directly tied into the Shire of Ashburton's Corporate Business Plan 2023-2027 under the *Prosperity* section as action item:

3.3.2.1 Develop a Bushfire Risk Management Plan

The BRM Plan will aid in achieving *Outcome 3.3. Clean, safe and accessible communities* by identifying and where possible addressing the bushfire risk to the built, natural, economic and cultural environments, as well as to the population of the Shire of Ashburton.

The BRM Plan will also work alongside action item:

3.3.4.1 Develop a community engagement program promoting community safety on local issues that contribute to community resilience in relation to bush fire risk, wildlife encounters, environmental health and crime prevention.

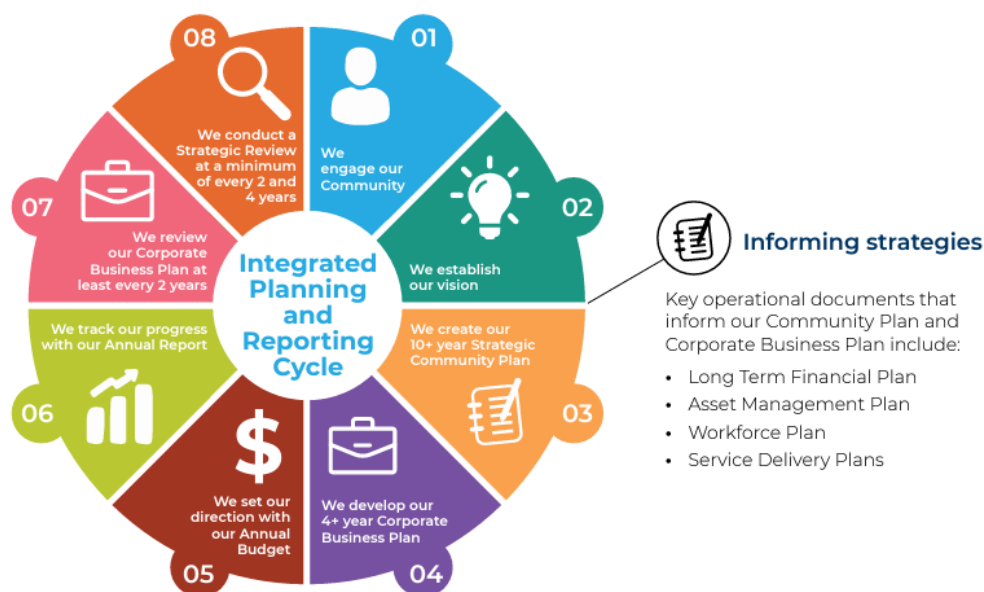


Figure 2 - Shire of Ashburton's Integrated Planning and Reporting Cycle

The implementation of the BRM Plan will be overseen and managed by the Shire of Ashburton Manager Regulatory Services. Updates on the progress of the implementation of the BRM Plan will be given annually to the Local Emergency Management Committee (LEMC) and if reestablished, the Bushfire Advisory Committee (BFAC). These committees provide a great opportunity to discuss issues arising within the context of bushfire risk management with a range of stakeholders and provide an easy avenue to share challenges, goals and opportunities experienced within the space.

3.2. Land Use and Tenure

The Shire of Ashburton is located in the Pilbara region of Western Australia, approximately 1,400 km north of Perth and covers an area of over 1,000 square kilometres. Neighbouring local governments include the City of Karratha and Town of Port Hedland to the north, the Shire of East Pilbara to the east, the Shires of Meekatharra, Upper Gascoyne and Carnarvon to the south, and the Shire of Exmouth to the west¹.

The Shire of Ashburton has four townsites; Tom Price, Paraburdoo, Onslow and Pannawonica. The towns of Tom Price, Paraburdoo and Onslow all have Shire administration offices, with the main centre being located in Tom Price. Pannawonica is a closed town with all residents housed and infrastructure supported by industry. The Tom Price townsite in particular has a higher risk of bushfire due to its proximity to the Karijini National Park and the potential for fires to run from the Park towards the town.

¹ Shire of Ashburton Strategic Community Plan 2022-2023



Five Aboriginal communities (settlements) are found across the Shire which are Bellary Springs (Innawonga), Ngurrawaana, Wakathuni, Youngaleena Bunjima and Bindi Bindi (based in Onslow town). Throughout the remainder of the Shire there are also many mines with accommodation camps and a number of other Aboriginal communities based on stations. The widespread yet isolated nature of residential towns, settlements and industry across the Shire means that broadscale strategic land management is key to reduce the impact of bushfires to people, infrastructure, industry, culture and the environment.

As shown in Table 2, over 57% of the Shire of Ashburton is classed as pastoral country and run as privately managed stations. Within these areas, vegetation is highly valued for its feed potential which must be considered when combatting bushfires. Particularly in years of low rainfall when vegetation growth may be reduced, limiting the size of bushfire becomes of increasing importance in order to maintain feed availability for livestock. Combatting fires in these areas is done in conjunction with pastoralists and land managers in order to best manage the range of priorities across the landscape.

DBCA is another key land manager within the Shire, managing large areas of National Parks and UCL. DBCA has a comprehensive regional fire management plan which covers mitigation activities across their tenure including on ground and aerial burning, and mechanical firebreak maintenance. In order to manage their area of responsibility and assist with the management of other tenures, DBCA works alongside other land managers, ranger groups and departments across the region.

The Shire of Ashburton is also home to Barrow Island, located off the coast to the north of Onslow. In addition to being a Class A Nature Reserve, Barrow Island hosts substantial oil and gas operations which are large contributors to global energy supplies and the Australian economy. Management of built assets on the island is by industry, while the remainder of the natural environment is by DBCA. Due to the significant amounts of infrastructure across the island and the need to protect remaining vegetation, mitigation activities can be challenging across the island. The development of plans to manage bushfire risk across the island is currently underway to address these challenges in conjunction with DBCA and industry.

Table 2 - Overview of Land Tenure and Management within the Shire of Ashburton²

Land Manager/Agency	Percentage of Local Government Area
Pastoral	57.57
UCL	15.22
DBCA	12.95
DPLH	10.66

² Landgate via Shire of Ashburton

Other Govt.	3.49
Shire of Ashburton	0.08
Private	0.03
Total	100

3.3. Community Demographics and Values

The Shire of Ashburton has population heavily based on the mining and resources industries with a large fly in fly out (FIFO) workforce. According to the 2021 Census, the population within the Shire of Ashburton was 7,391 with 58.1% male and 41.9% female³. It is predicted that the population will remain relatively stable in terms of number over the next 5 to 10 years.⁴

The townsites of Tom Price, Paraburdoo, Pannawonica and increasingly Onslow are heavily supported by and based around the mining and resources industries. As shown in Figure 3, there is a high percentage of the population aged between 25 and 44 compared to the rest of the state and significantly fewer people aged 65 and over.⁵ There is a high percentage of primary school aged children and younger found within the Shire as families may either send high school aged children out of the area for their secondary schooling or move out of the area all together.



Figure 3 - Age breakdown of the population of the Shire of Ashburton compared to Western Australia

As Pannawonica is a closed town managed by industry, residents are only housed in the town during the course of their employment either directly within the mining industry or as support roles to maintain the town. The average age for

³ ABS Census 2021

⁴ WA Tomorrow

⁵ ABS Census 2021



residents in Pannawonica at the 2021 census was 30, with no residents 75 years or older (6.8% WA wide) and only 5.6% of the population between 60 and 74 years old compared to 15% in WA⁶. Pannawonica has a higher than the WA average number of primary school aged children or younger (29% 0-9yrs old compared to 12.6% in WA). Despite the high percentage of a young, dependent population, the community overall can be seen as relatively resilient to bushfires due to the centralised nature of housing and resources within the community and the town as a whole being managed and supported by industry.

Due to the nature of work within the area, the large portion of people employed by industry and number of FIFO workers, it can be challenging to attract and retain volunteers who are able to respond to incidents during their working hours. There can also be a cross over between personnel carrying out emergency services functions on mine sites and in their work related environment, and volunteers carrying out these functions. This means that there may be competing priorities between the two when incidents occur, therefore reducing the availability of people to volunteer.

Across the majority of the Shire, the country of birth and percentage of homes where English only is spoken is relatively consistent with the rest of WA with the exception of Pannawonica where these numbers increase significantly. The second highest response in the 2021 Census across the Shire of language used at home was Banyjima which is one of the Aboriginal languages of Australia.^{7 8}

Within the Shire of Ashburton there are five Aboriginal Communities: Bellary Springs, Bindi Bindi, Ngurawaana, Wakathuni and Youngaleena Bunjima. Residents within these communities may be more prone to the risk of bushfire due to differences in languages and communication, access to information sources, physical remoteness of some communities and vegetation management within and surrounding the community.

Outside of the main town centres, Aboriginal Communities and mine sites, pastoral stations are the main place of residence for people within the Shire of Ashburton. Pastoral stations and homesteads can be isolated and are often required to be self sufficient for a significant period of time. People living on these stations generally have a good working relationship with fire due to the nature of work and frequency of fire across the landscape.

The other main population demographic found across the Shire of Ashburton are tourists, commonly visiting National Parks or station stays. Millstream Chichester National Park and Karijini National Park (north and east of Shire respectively) have a number of designated campsites which are able to be booked in advance. During the peak season, generally May to October, thousands of people travel throughout the Shire to these campsites and other remote locations across the region. There can be a range of knowledge and understanding of these travellers in regards to bushfire and communications can be restricted. Clearly visible, up to date signage

⁶ ABS Census 2021

⁷ ABS Census 2021

⁸ Wangka Maya Pilbara Aboriginal Language Centre



along road ways throughout the Shire and state will assist in keeping the risk of fire at the forefront of travellers minds when going throughout the region.

3.4. Cultural Heritage

Within the Shire of Ashburton, there are a number of Traditional Owners, Aboriginal Communities and PBCs (Prescribed Body Corporates) which protect and manage Native Title. There are also five permanent Aboriginal Communities throughout the Shire which are: Bellary Springs (Innawonga), Ngurrawaana, Wakathuni, Youngaleena Bunjima and Bindi Bindi.

Prior to conducting mitigation works throughout the Shire which have the potential to disturb areas of Aboriginal significance, consultation is usually undertaken with the relevant Traditional Owners of the area to ensure that no damage is done to sites. Engagement with Traditional Owners is also key when responding to bushfires and developing strategies to combat fires in order to not cause preventable damage to sites across the broader landscape.

In order to conserve areas of Aboriginal Cultural Heritage however, there is also a general rule across the Pilbara to avoid the use of machinery in previously undisturbed areas during mitigation or response efforts to prevent permanent damage to sites, known or otherwise which is also a strategy employed by the Shire of Ashburton. Due to the limited areas for mitigation under the control of the Shire, the areas which do have works done have generally had repeated works over an extended period of time which has reduced the potential for damage to be caused to sites of significance. However, when works are conducted on land managed by external stakeholders or by the Shire in new areas, it is important to liaise with the relevant Traditional Owners to ensure that works do not cause harm. The expansive nature of the Shire of Ashburton means that there are many different Traditional Owner groups and Native Title Determinations across the area and there may also be the need to consult with multiple groups when discussing a single area.

Identification of sites of Aboriginal significance may be done through an initial search of the Aboriginal Cultural Heritage Inquiry System, through the Department of Planning, Lands and Heritage or by consultation with the Traditional Owners of the lands. The Aboriginal Cultural Heritage Inquiry System records and maps registered sites of Aboriginal Cultural Heritage and significance. Figure 4 shows a map registered and lodged sites across the Shire of Ashburton. The list is not exhaustive and does not necessarily show all sites of significance, just those which have been registered. It also does not show the impact of bushfire or mitigation works on these sites and areas, therefore consultation with Traditional Owners is vital in not causing damage or harm which could otherwise have been prevented.

Prior to conducting their burn program each year, DBCA engage with the Traditional Owners of the lands in which they plan on burning and discuss the planned program. This provides an opportunity for the Traditional Owners to highlight any areas of concern with the program and suggest other areas which may additionally need to be addressed.

There are also a number of non-indigenous heritage sites throughout the Shire. Many of these sites are old infrastructure from early European settlement to the area. Included in this is the Old Onslow Townsite located at the mouth of the Ashburton River. Although remnant buildings and artefacts are generally made from non-flammable materials, maintaining clear breaks around the buildings would aid in their defence should a fire approach.

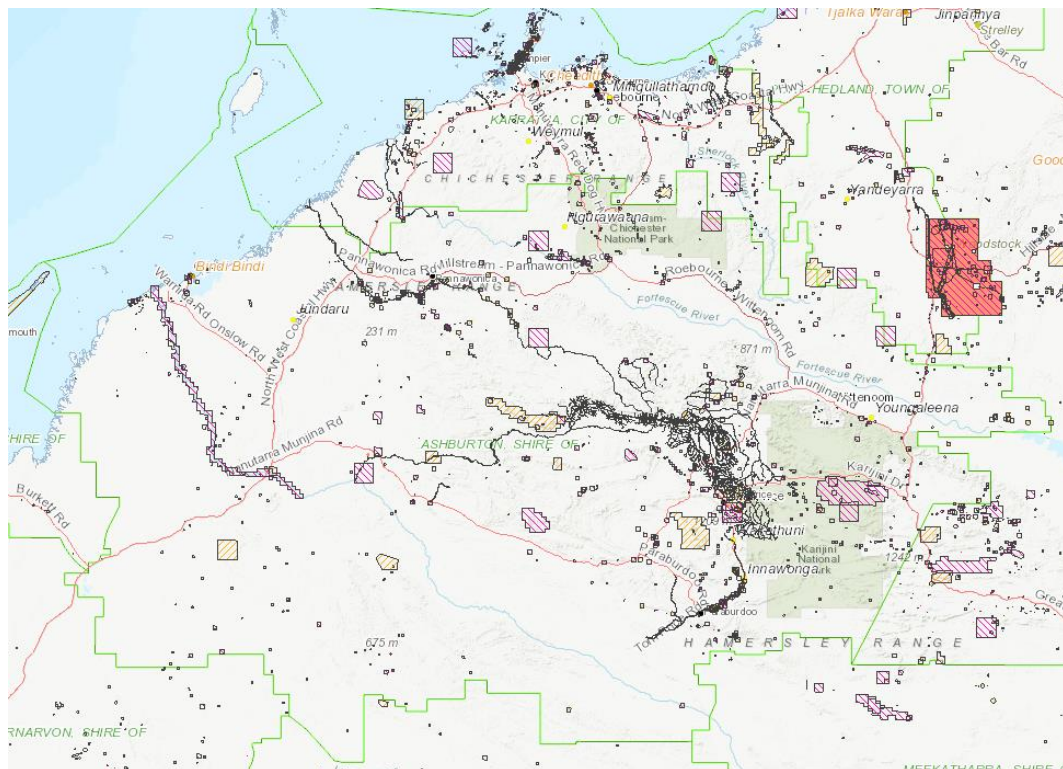


Figure 4 - Map of registered and lodged Aboriginal Cultural Heritage Sites across the Shire of Ashburton.

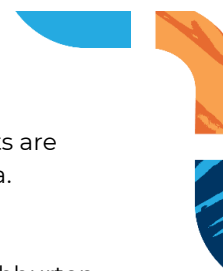
Source: Aboriginal Cultural Heritage Inquiry System 11/03/2024

3.5. Economic Activities and Industry

The Shire of Ashburton has a strong economic basis built on iron ore mining, the oil and gas industry particularly on the coast and off shore, and pastoral stations which covering the majority of the landscape. In addition to this, major transport routes, dry season tourism, and the Pilbara Regional Waste Management Facility are also key features within the Shire.

Pastoral Stations

Pastoral stations cover a significant portion of the Shire of Ashburton, with cattle being the primary stock carried. Large scale bushfires can have a significant impact on feed value across the landscape. Limiting the spread of fires to retain vegetation



for grazing especially, in years of low rainfall where available feed amounts are reduced, is key in maintaining stocking rates and capacity across the area.

Mining, Oil and Gas

The mining industry, particularly iron-ore, is a major contributor to the Ashburton and wider Western Australian economy. Within the Shire, the towns of Tom Price and Paraburdoo are heavily supported by the mining industry with much of the facilities and infrastructure maintained and managed by industry. The town of Pannawonica is a closed town, exclusively used to house employees of local mine sites and supporting facilities. The Onslow town is also experiencing ongoing development with the expansion and development of several new resource projects.

Barrow Island is home to the Gorgon Liquid Natural Gas project and the near end of life WA Oil operations. Due to the proximity of infrastructure to vegetation on the island, if fire was to start on the island under elevated fire weather conditions, there is a potential for infrastructure to be impacted by fire.

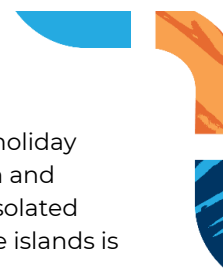
Throughout the mainland portion of the Shire, there are many mines, mine camps and significant amounts of supporting infrastructure across the landscape. Many of these mine sites have internal emergency response capabilities primarily for response to incidents which occur within the mine site area, however may be utilised outside of this area if fire was to threaten facilities. Due to the isolation of many of these sites and infrastructure the operational areas and residential camps must have well established plans in case of fire to preserve life and reduce the potential impact on infrastructure.

Transport

Transport throughout the Shire is well developed with airports located at Paraburdoo and Onslow and a number of private runways on mine sites and pastoral stations. Extensive rail networks have been placed throughout the Shire for the transport of mining products by industry. The port of Ashburton is located approximately 12km west of Onslow with an additional maritime facility located in Onslow. In addition to air, sea and rail transport across the Shire, the North West Coastal Highway and Great Northern Highway are key road transport routes of the state which both pass through the Shire. Both of these highways are vulnerable to bushfire and may be closed if impacted by fire for the safety of travellers. Extended closures of these highways can lead to significant delays in commercial and private transport, between the north and south of the state. There is also the potential for fires to be started from people travelling along these routes from carelessness or ignited as a result of an accident.

Tourism

The peak time for tourism in the Shire of Ashburton is during the dry season which is generally from May to October each year. During this time, the region experiences an influx of tourists, particularly inland, with many exploring the National Parks. Bushfires within the area, especially throughout the tourist season, can impact the ability of people to safely travel across the region and reduce the number of visitors to sites such as the Karijini Eco Retreat.



The Mackerel Islands are located off the coast of Onslow and can attract holiday goers each year on both Thevenard and Direction Islands between March and December (months may vary from year to year). Due to the remote and isolated nature of the islands and limited resources, preventing fire ignition on the islands is the highest priority when it comes to managing bushfire risk.

Other key events within the Shire attracting people to the area include camp drafts and rodeos, the largest of which is the Robe River Rodeo and Campdraft in Pannawonica, BMX, motocross and speedway events, and community festivals which most commonly run in Onslow or Tom Price.

Waste Management

The Pilbara Regional Waste Management Facility (PRWMF) is located approximately 36km south of Onslow and accepts waste materials up to and including Class IV contaminated solid waste. This is an important service for Local Governments and industry, and provides a local opportunity to safely and correctly dispose of waste. It is important to minimise the likelihood of fires impacting on this facility or spreading if started within the facility to prevent the burning of potentially toxic materials and to maintain the functioning of the facility to reduce the requirement for contaminated waste to be transported large distances by road. A comprehensive fire management plan is in place for the PRWMF which outlines both mitigation and response measures in place to reduce the likelihood and spread of fire within the facility.

3.6. Topography and Landscape Features

The Shire of Ashburton is home to the Hamersley Range which is rich in iron ore and contains gorges, hills and mountains which attracts both industry and tourists alike. This mountain range runs through the centre of the Shire and includes features such as the Karijini National Park and Mount Nameless. Topography across the remainder of the Shire is varied. While the eastern areas are primarily influenced by the Hamersley Range, towards Onslow and the coast, the landscape flattens out to flood plains with some slight undulations and dunes. The vastness and inaccessibility of much of the landscape can pose a challenge in terms of fire response due to the remote areas and inaccessibility of the undulating terrain. This includes the landscape surrounding the townsites of Tom Price, Paraburdoo and Pannawonica as well as a number of the Aboriginal Communities.

A number of river systems flow east to west through the Shire of Ashburton including the Ashburton, Fortescue, Cane and Robe Rivers and their tributaries. Deep gorges and steep terrain flanks these river beds in many areas which can lead to additional challenges in terms of accessibility for on ground firefighting although may also provide opportunities for back burning.

The Shire of Ashburton also contains a number of offshore islands including Barrow Island and the Mackerel Islands (20 islands off the coast of Onslow). Unlike Barrow Island, the Mackerel Islands are open for tourism, particularly on the main two islands of Thevenard Island and Direction Island. The travel times from the mainland to these islands means that fire response is generally limited to resources available on the islands at the time of the fire.

3.7. Climate and Weather

The Shire of Ashburton experiences a hot arid and a hot semi arid climate over different areas of the Shire. Across the northern half of the state, including the Pilbara and Shire of Ashburton, weather is divided into two seasons, the wet and dry. The wet 'cyclone' season generally runs from November to April each year depending on the individual season with the remainder of the year being deemed the dry season.

Maximum temperatures across the Shire are consistently above 30°C from October to April as shown in Figure 5 and Figure 6, however inland areas such as Paraburdoo experience average maximum temperatures over 40°C in December and January. Minimum temperatures throughout this time average around 20-25°C. During the dry season, temperatures can drop to a minimum of 10°C and maximum of 25°C inland and 14°C minimum and 26°C maximum on the coast⁹. These temperatures have the potential to help fire carry across the landscape through most times of the year in the form of wildfire or prescribed burn.

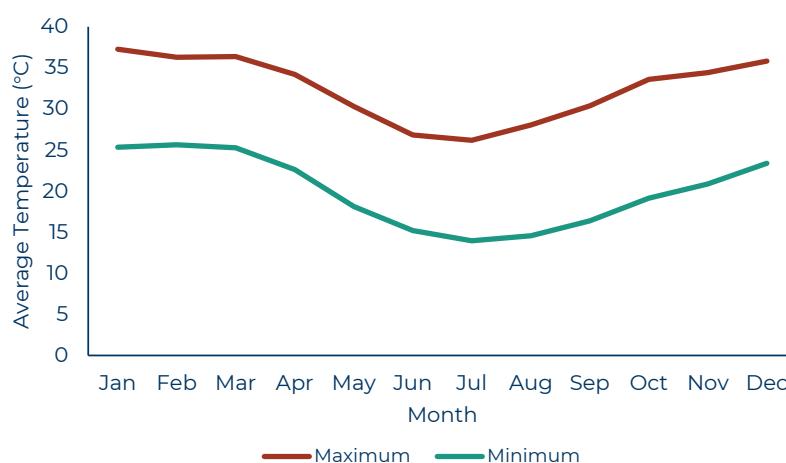


Figure 5 - Average monthly minimum and maximum temperatures at the Onslow Airport (2003-2022)

⁹ BoM climate statistics 2003 to 2022 for Paraburdoo and Onslow

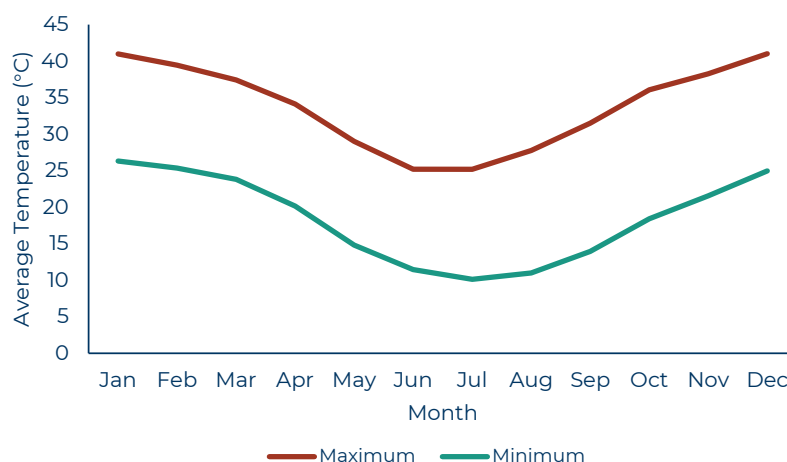


Figure 6 - Average monthly maximum and minimum temperatures at the Paraburdoo Airport (2003-2022)

Rainfall throughout the Shire and from year to year can be highly variable and dependent on the tracks of cyclones. Onslow (annual average 255mm) tends to experience the majority of its rainfall in the first half of the calendar year, as shown in Figure 7, whilst the inland towns such as Paraburdoo (annual average 329mm) generally have this more concentrated on the first three months of the year¹⁰. Due to topography and location, the town of Pannawonica tends to experience the highest annual rainfall of 406mm¹¹. This rainfall trend allows for the commencement of the burning period, particularly for inland areas around April.

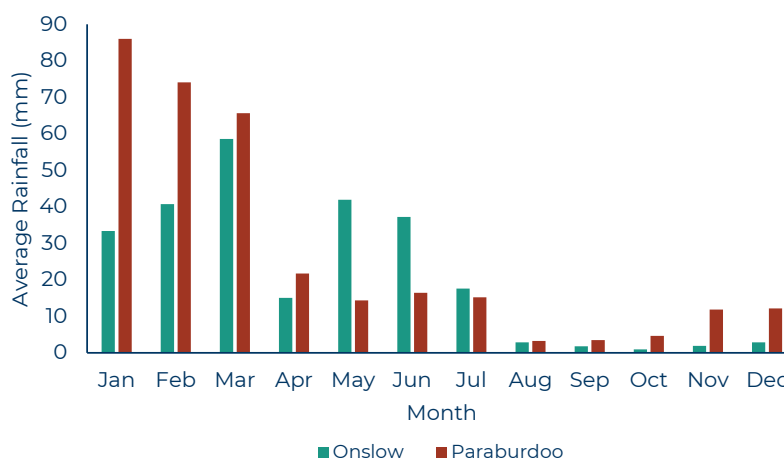


Figure 7 - Average monthly rainfall experienced in Onslow and Paraburdoo (2003-2022)

¹⁰ BoM Climate Statistics for Onslow and Paraburdoo 2003-2022

¹¹ Bom Climate Statistics for Pannawonica 1971-2024

The burning season across the Shire of Ashburton generally runs from April to mid-August when conditions are most favourable however this can change from year to year depending on individual seasons. As the burning season ends, the bushfire season starts and will generally continue until the wet season begins, the exact timing of this can be highly variable. Due to the potential variability of rainfall and wind across the Shire, flexibility must be maintained when scheduling the time and date of the burning of cells during the burning season. Once vegetation is suitably cured, one of the key factors to consider when selecting appropriate burning conditions is wind strength and direction. Due to the nature of vegetation, fires are generally driven by wind so burning cells on the appropriate wind direction and strength is vital in ensuring that the desired area is covered and smoke is not pushed across townsites and major transport routes, where possible. This can vary greatly throughout the Shire so during the planning process consideration to the desired conditions should be noted to allow for the easy selection and prioritisation of burns when the burning window does arrive.

Wind throughout the year can vary dependent on location throughout the Shire. As shown in Figure 8, wind in Onslow tends to have stronger winds with more of a southerly or westerly influence, driving fires in a north or easterly direction¹². Inland areas such as Paraburdoo as show in Figure 9 have a greater easterly influence in their wind direction which can lead to fires being driven out of the national parks towards townsites.

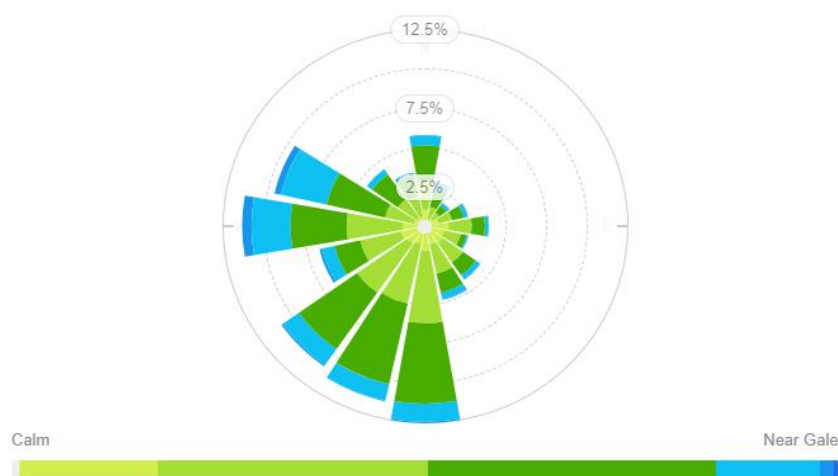


Figure 8 - Onslow Airport Wind Rose (2018-2023)

¹² Figures from Willy Weather using data from BoM

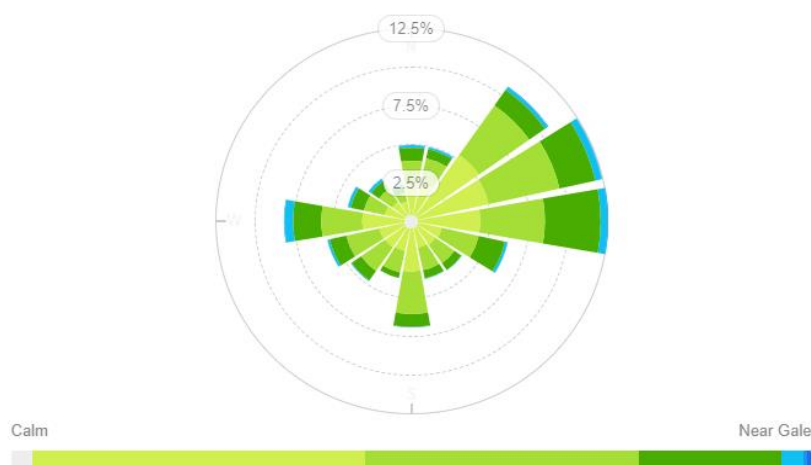


Figure 9 - Paraburdoo Airport Wind Rose (2018-2023)

3.8. Vegetation and Fuel

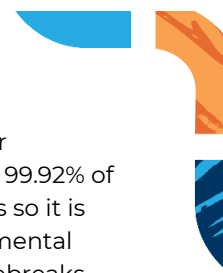
The Shire of Ashburton is dominated by grassland and shrubland vegetation types both around townsites and the wider Shire. The dominant species across much of the landscape are spinifex. Fires across these spinifex dominant grasslands and shrublands can burn hot and fast if driven by wind due to their low height and high fine fuel percentage. The variety of fuel ages across the Shire as well as areas of reduced vegetation due to soil type, topography or grazing can create low fuel buffers which may naturally slow or stop the spread of fires without the need for active suppression techniques.

Each of the townsites in the Shire and many assets and infrastructure are all in close proximity to and are surrounded by these grasslands so fire breaks and low fuel buffers around the outside of townsites in the Shire are key in reducing the impact of fire on people and assets. The requirements for clearance around assets throughout the wider Shire are outlined in the Shire of Ashburton Fire Break Notice which although may not stop the spread of fire across the landscape, aims to reduce the impact of fires on assets themselves.

In areas of greater water availability, taller scrub or woodland vegetation types can occur, with woodlands being particularly common along creek and river lines. Eucalyptus and acacia species are the dominant tree/scrub types found across the Shire and may be accompanied by a grassy understory. Some of these creek lines flow into or close to the inland townsites and can lead to an additional fire risk throughout these areas.

3.9. Important Species and Communities

Throughout the Shire of Ashburton, there are a number of threatened and priority flora, fauna and ecological communities which can be found across the landscape, many of which can be negatively affected by fire. A list of Ecological Communities, Flora and Fauna listed in the *Biodiversity, Conservation Act 2016* as well as numbers of species of conservation significant species is found in Appendix B.



Within the Shire of Ashburton, there is currently no formalised process for environmental approvals when it comes to conducting mitigation works. 99.92% of the Local Government area is managed by external agencies or industries so it is up to the individual agency to meet their obligations in terms of environmental impact assessments. Where possible, the Shire maintains pre-existing firebreaks and prior disturbed areas to not cause potential environmental harm to new sites, however may refer to DBCA for any questions regarding environmental sensitivities.

Ecological Communities

The Shire of Ashburton is home to one Threatened Ecological Community (TEC) as listed under the *Biodiversity Conservation Act 2016*. This TEC is known as the Themeda grasslands on cracking clays and is found primarily on Hamersley Station. This TEC is rare due to the fact that it is dominated by the perennial Pilbara kangaroo grass *Themeda* sp. Hamersley Station. One of the threatening processes for Themeda grasslands is altered fire regimes¹³.

Another ecological community to consider in regards to burning and bushfires is the Priority 3 Coastal dune native tussock grassland dominated by *Whiteochloa airoides*. One of the key threats to this community is weed invasion, of which they are particularly susceptible to following fire.

Flora

One of the key threatening factors to native vegetation across the Shire of Ashburton is the invasion of grass species following fire. Following fire, vegetation on the coast is particularly vulnerable to invasion from buffel grass and kapok bush. Where possible, the management of weeds in these areas following fire should be considered. Areas heavy with species such as snakewood (*Acacia xiphophylla*), and *Acacia coriacea* should be avoided when burning, or only burnt under very mild conditions where possible as they are very vulnerable to the impact of fire, especially hot fires.

Where possible, mulga stands should be protected from the impact of bushfire which may potentially be done by the controlled burning of surrounding areas. It is important however to consider the presence of invasive grasses neighbouring these communities as they may spread into the mulga community. It is also vital to avoid repeated, short intervals between fires in mulga as this has the potential to favour grasslands over the mulga and result in local extinction and the loss of biodiversity and ecosystem function.¹⁴

Fauna

In addition to avoiding burning coastal areas for weed and grass invasion, the burning of coastal dunes should be avoided to minimise the impacts on marine turtles and shorebirds particularly in known areas of habitat. Following burns and fires, feral animal (especially cat and fox) management should be considered to reduce the impacts of these predators on native fauna.

¹³ Department of Biodiversity, Conservation and Attractions. Themeda grasslands TEC Fact Sheet.

¹⁴ Department of Biodiversity, Conservation and Attractions



The implementation of lighting and burning strategies across the landscape which create a mosaic of burnt/unburnt areas and range of fire intensities is key to maintaining refuge areas, food sources and habitat corridors for biodiversity and native fauna including the northern quoll and Pilbara olive python. Burning of areas of critical Pilbara olive python habitat should be avoided between September and January to protect the python snakelets. In general, the strategic, mosaic burning across the landscape will also help prevent the widescale, indiscriminate spread of intense bushfires which can potentially wipe out entire areas of habitat for communities of native species.¹⁵

Barrow Island

Barrow Island is an important site for many fauna species due to its isolation from key threatening processes which occur on the mainland such as the threat of non-indigenous species.¹⁶ These protected species include a number of marsupials, birds, migratory shorebirds, snakes, subterranean fauna and other marine species. One of the key threats to these species are large, intense bushfires which have the potential to destroy significant portions of the island in a single event, potentially killing many animals and destroying the food and habitat for remaining individuals. When conducting mitigation works such as controlled burning, the conservation of habitat must be considered.

3.10. Historical Bushfire Occurrences

Over the last 10 years across the Shire of Ashburton, approximately 70 fires were recorded annually on average. 56% of fires over 100 ha were reported to have been started by lightning compared to 37.8% of fires of all sizes¹⁷. Often fires started in remote, low-populated areas are caused by lightning which means they can be less accessible and spend a longer period of time being undetected. Due to the accessibility and remoteness of the landscape as well as available resources, fires are often monitored for extended periods of time before on ground action is required to prevent impact to assets. Figure 10¹⁸ shows a map of areas burnt over the 10 year period from 2004-2023 by the month in which they were burnt in. As shown in Figure 10, fire has the potential to burn across the landscape throughout all months of the year due to the dryness of the landscape and nature of vegetation across the Shire of Ashburton.

Table 3 shows the number of fires recorded for each year from the 2013/14 season to 2022/23 season. Over the 10 year period shown, an average of 70 fires were recorded across the Local Government area annually, with the majority of these being started by lightning. Table 4 shows the percentage of fires in each size range in the 2013/14 to 2022/23 period. Over 100 fires reported during this time were over 1,000ha in size, with 36 of these being 10,000ha or greater, and the majority of these started by lightning. These statistics further demonstrate the propensity for fires to cover large areas of country across the Shire of Ashburton. Other than the preservation of life and infrastructure, some of the key priorities considered when combatting these large fires are conserving the feed value in vegetation for

¹⁵ Department of Biodiversity, Conservation and Attractions

¹⁶ Department of Parks and Wildlife. 2015. Barrow group nature reserves management plan 82 2015.

¹⁷ Department of Fire and Emergency Services. Incident Reporting System.

¹⁸ Landgate FireWatch.

pastoralist stations and minimising the impact on Aboriginal Heritage values and areas of significance.

Table 3 - Bushfire frequencies and causes of ignition across the Shire of Ashburton from 2013/14 to 2022/23

	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	Total
Total number of Bushfires	89	82	65	31	81	84	87	29	82	66	696
Weather conditions – lighting	36	27	33	10	34	36	31	7	20	29	263
Unreported	31	27	12	6	22	27	22	9	22	22	200
Suspicious/ deliberate	11	10	11	8	11	5	7	5	12	4	84
Undetermined	1	6	1	3	3	2	11	5	20	5	57
Reignition of previous fire	1	2	1	0	4	2	2	1	0	1	14
Vehicles (incl. Farming equipment/ activities)	0	0	2	2	4	1	1	0	2	1	13
Burn off fires	0	4	1	0	0	0	6	0	0	1	12
Cigarette	2	1	2	0	1	2	2	0	0	0	10
Campfires/bonfires/ outdoor cooking	3	2	1	1	0	0	1	0	0	0	8
Weather conditions – excludes lighting	1	0	0	0	0	3	0	0	3	0	7
Hot works (grinding, cutting, drilling etc.)	1	0	0	0	0	2	1	0	1	1	6
Other open flames or fire	0	0	0	0	1	1	0	1	2	1	6
Other	1	3	1	1	1	4	1	1	0	1	14

The Shire of Ashburton has a long history with bushfire and has experienced many bushfires which cover vast areas of the landscape. The town of Tom Price is one which has experienced and been threatened by large bushfires every few years. As a result of these bushfires, the importance of maintaining strategic breaks around townsites has been highlighted. By maintaining two firebreaks at varying distances from the towns, burning is able to be conducted between these prior to the approach of fire to remove the fuel loads around the townsites and prevent bushfires from reaching the townsites themselves.

Table 4 - The number and percentage of bushfires by size in the Shire of Ashburton from 2013/14 to 2022/23

Fire Size	Number of Fires	Percentage of all Fires
< 1 ha	388	56%
1 – 9 ha	29	4%
10 – 99 ha	37	5%
100 – 999 ha	61	9%
1,000 – 9,999 ha	69	10%
≥10,000 ha	36	5%
Fire size unknown	75	11%

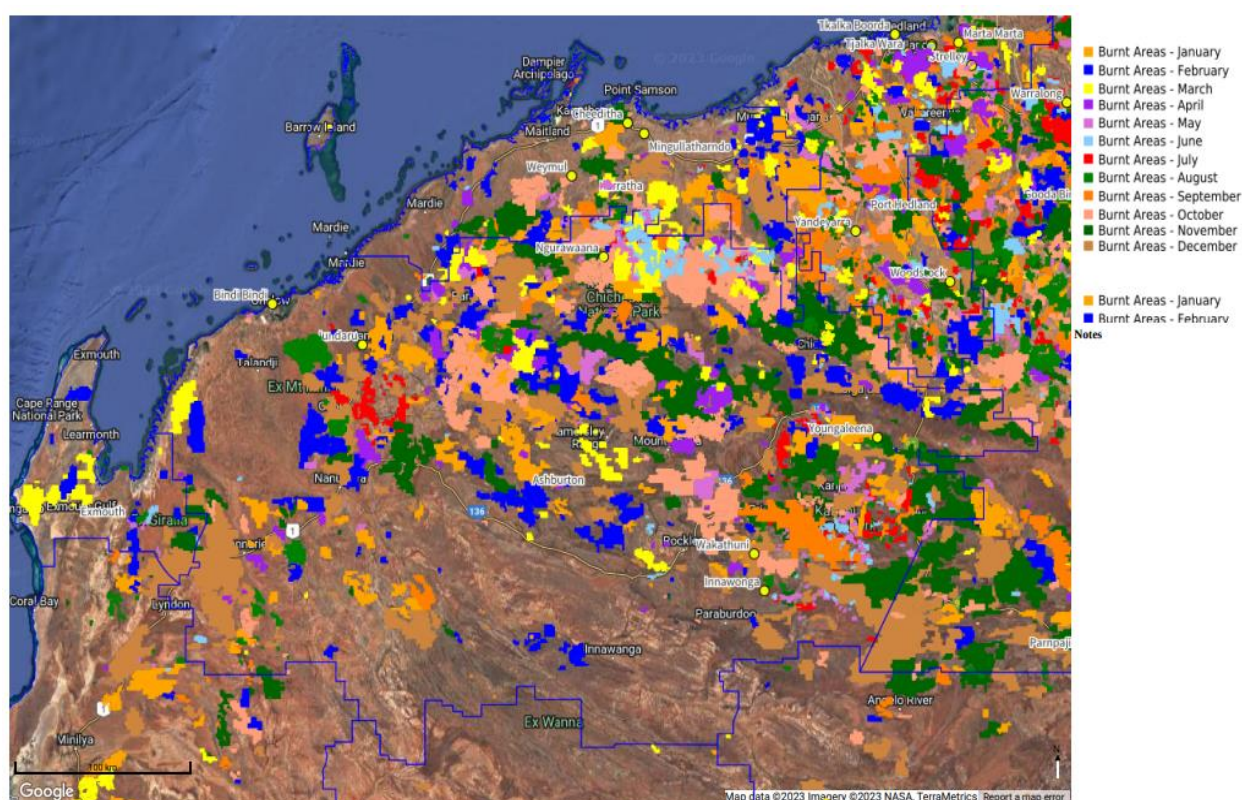
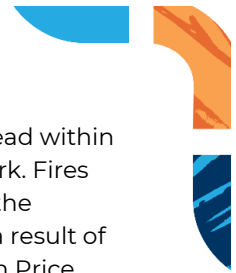


Figure 10 - Map of areas burnt across the Shire of Ashburton by month (2004-2023)



One of the key areas for concern in terms of bushfire occurrence and spread within the Shire of Ashburton are fires which start around the Karijini National Park. Fires which start in this area and are pushed under an easterly influence have the potential to travel up to and pose a threat on the Tom Price townsite. As a result of previous fires, multiple 5m wide breaks have been placed around the Tom Price townsite, particularly on the eastern side to allow for backburning and prevent the spread of fires into town.

Due to its isolation, Barrow Island's main potential sources of ignition are lightning (hitting directly on the island) or from human activity. The last major fire to impact the island was in 1961 where approximately 90% of the island was burnt. Following this, around 6% of the island was burnt across 2013 and 2014. Within this time all other fires have been suppressed quickly and were negligible in size. Due to the age and fuel loads of the spinifex, if a fire were to start outside of the immediate vicinity of fire suppression resources under high fire weather conditions, there is a high potential that a large portion of the island could be once again burnt.

3.11. Current Bushfire Risk Management Controls

Map of Bushfire Prone Areas

The majority of the Shire of Ashburton is covered under the Bushfire Prone Area, with the general exception of open cut mines, the centre of townsites and some of the more tidal areas on the coast. A snapshot of the Bushfire Prone Area on the western side of the Shire, including Onslow is shown in Figure 11¹⁹.

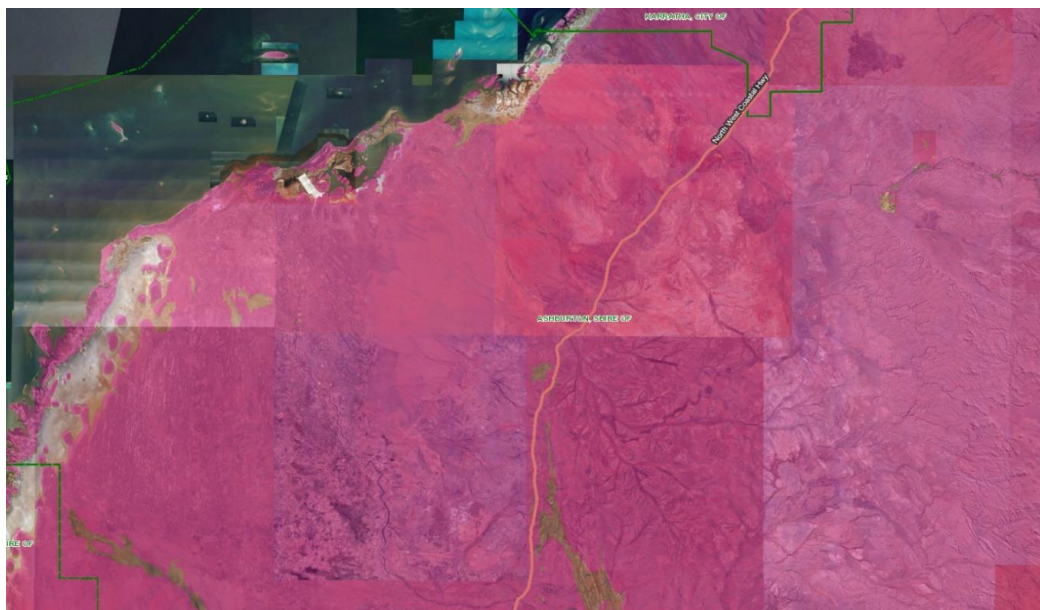


Figure 11 - A snapshot of the Shire of Ashburton Map of Bushfire Prone Areas including the townsite of Onslow

¹⁹ Landgate Map of Bushfire Prone Areas



Fire Response

There are a number of volunteer fire brigades located within townsites throughout the Shire of Ashburton. These brigades are all managed by DFES including the Tom Price BFB which is managed through an MOU between the Local Government and DFES. Tom Price, Pannawonica and Paraburdoo PVFRS brigades are all privately funded by industry but also remain managed by DFES.

DBCA also has a limited number of resources which are utilised for fire management and response in and around DBCA managed tenure including the Karijini and Millstream National Parks. Private mine site Emergency Response Teams and resources may also be utilised for fire and emergency response within the Shire, however these are primarily reserved for fires which threaten or are within mining areas and are only used offsite at the request of DFES.

Table 5 - List of volunteer fire brigades within the Shire of Ashburton

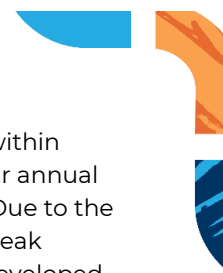
Brigade
Onslow Volunteer Fire and Emergency Service
Tom Price Bushfire Brigade
Tom Price Private Volunteer Fire and Rescue Service
Pannawonica Private Volunteer Fire and Rescue Service
Paraburdoo Private Volunteer Fire and Rescue Service

Due to the nature of the industry on Barrow Island, depending on the location on the island, fires have the potential to become HAZMAT incidents, especially when impacting on infrastructure. The response and management of fires on the island will depend on the location of the incident and the infrastructure threatened. Response to incidents may be shared between DBCA, DFES and industry resources. The controlling agency can vary depending on the location and type of incident, however if the fire becomes a HAZMAT incident, then this will generally come under the control of DFES if in attendance.

Bush Fires Act 1954 section 33 Fire Management Notices

The Shire of Ashburton issues a Firebreak Notice in accordance with Section 33 of the *Bush Fires Act 1954*. Property preparations in compliance with the notice is to be completed by the 1st of January each year and must be maintained year round. Applications for variations must be submitted to review by council by the 30th of August if it is impractical for land owners or managers to comply with the notice²⁰. The aim of the Firebreak Notice is to prevent the ignition and subsequent spread of a bushfire should they occur.

²⁰ Shire of Ashburton Firebreak Notice



The notice outlines different requirements for the management of land within town sites and land outside of townsites and is sent to residents with their annual rates notice as well as being available year round on the Shire's website. Due to the spread of various stakeholders across multiple Local Governments, Firebreak Notices for each of the Local Government within the Pilbara have been developed in consultation with each other to aim for consistence between the requirements and messaging given to land and asset managers.

For land within townsites, there is a focus on reducing flammable material across the entirety of the property, particularly for blocks under 2000m², with larger blocks needing to clear around buildings and the perimeter of the property.

Land outside townsites have additional requirements for implementing strategic fire breaks to protect buildings, allow clear access for vehicles and to give multiple lines of defence from preventing fires from entering or leaving properties.

The notice also includes stipulations for infrastructure such as power and water supply infrastructure, storage of explosives and highly flammable materials.

Due to the climate, vegetation, resources and remoteness of the area, the Shire of Ashburton's Fire Break Notice also requires a permit to burn year round (unless exempt by the notice). Prior to obtaining a permit from the Shire of Ashburton to burn, the DFES Pilbara region has a requirement for industry organisations to create a burn prescription outlining the plan for the burn to ensure burning is conducted in a safe and effective manner.

Burning Restrictions

As with all Local Governments within the Pilbara region, the Shire of Ashburton is in a Restricted Burning period year round. This means that a permit to burn is required at all times throughout the Shire unless exempt as outlined in the Firebreak Notice. Permits to burn can be obtained through one of the Fire Control Officers (FCO) and are subject to a number of conditions and controls. The higher burning restrictions compared to many other areas within the state are due to the variability of fire weather conditions from year to year and potential for some fuels to burn year round.

Burning across the Shire is also subject to the Fire Danger Rating (FDR), as outlined in the Fire Break Notice. The Shire of Ashburton is split into two fire weather districts, Ashburton Coast and Ashburton Inland as shown in Figure 12. This means that FDR and Fire Behaviour Index (FBI) data can be better tailored and relevant to differences between coastal and inland weather and conditions. It also allow for variations in the restrictions of activities between the two districts based on conditions.

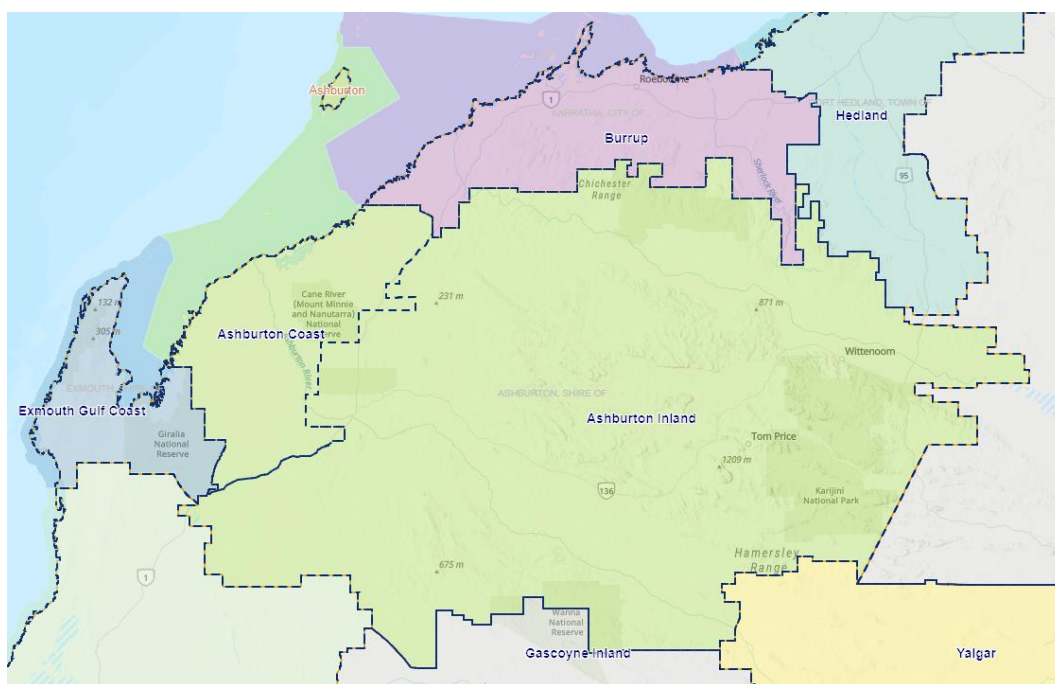


Figure 12 - Fire Weather Districts across the Shire of Ashburton

Total Fire Bans

Total Fire Bans (TFBs) are declared across Local Government Areas on days when the Fire Danger Rating is Extreme or when firefighting resources are already stretched which can affect the response capacity if a fire were to start. TFBs are declared by DFES and are usually in effect for the entire 24 hour period. When a TFB has been declared, there are a list of activities which are prohibited due to their increased likelihood of starting a bushfire. This also includes the suspension of burn permits. There are, however, exemptions for certain industries carrying out some of these activities which can come with conditions to enable industries to continue their work.

Figure 13 shows the number of total fire bans declared across the Shire of Ashburton from 2017/18 to 2022/23²¹. With the implementation of the AFDRS, there has been a change in the occurrence in distribution and occurrence of Total Fire Bans across the Shire of Ashburton, however with ongoing improvements and changes to the system, this should be steadied out.

²¹ Department of Fire and Emergency Services Total Fire Ban Declarations 2017-2023

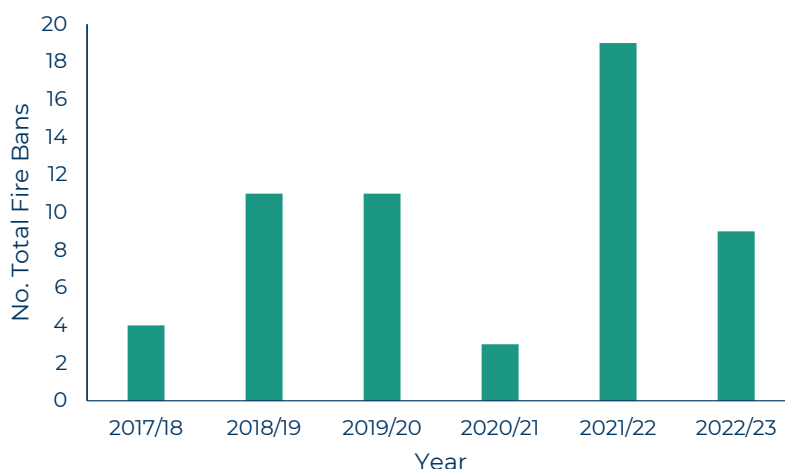


Figure 13 - The number of Total Fire Bans across the Shire of Ashburton from 2017/18 to 2022/23

Fuel Management Programs

Within the town of Tom Price, DFES and the Shire of Ashburton manage a rotational burning program to manage the vegetation within the townsite. This program greatly reduces the bushfire threat to properties within the town if fires are to start within these areas by reducing the fuel loads and reduces the potential for fires started outside of the townsite to hop over into the town itself.

The Shire of Ashburton also conducts an extensive fire break program particularly within and around the towns of Paraburdoo and Tom Price. This program aims to reduce the potential for fires to breach the external borders of the townsites through providing a low fuel buffer and the opportunity for backburning in the instance of fire to increase this buffer zone.

Each year between April to mid August, DBCA conducts a significant fire mitigation program across their managed land. This program has a primary focus on prescribed burning with a combination of ground and aerial ignition being undertaken. Ground ignition burns are conducted around assets and along roads to protect assets and to try and keep road corridors open in case of bushfire. Wider scale aerial ignition is conducted strategically across the landscape in a mosaic fashion to create areas of lower fuel loads which aid in preventing the spread of bushfires indiscriminately across the landscape.

Community Engagement Activities

The annual Welcome to Town events held across all four townsites of the Shire of Ashburton are a great opportunity for the Shire to engage with new and existing local residents in regards to bushfire and other emergency information. These events allow for in person, two-way communication with residents and can provide a space for information to be disseminated and residents to voice their questions or concerns. These events may be held throughout the year, however are most commonly held between February and June.



The Shire of Ashburton Ranger Services Team visits pastoral stations annually to discuss permits, mitigation and bushfires amongst other emergency and ranger services related topics. This provides an opportunity to further develop the relationships between the Shire and Pastoralists, and maintains clear lines of communication remain open. These visits also provide an opportunity to provide pamphlets and other information to be given to tourists and travellers, especially on stations with accommodation and space for visitors including homestays. The ability to connect with travellers through the stations will aid in the dissemination of information surrounding such as that surrounding bushfires, where to find information and the proper use of campfires. There has been a significant increase in travellers reported across the Shire of Ashburton since the COVID-19 pandemic and it is vital to communicate with this transient population to prevent and reduce the potential impact of bushfires.

Other Local Government Wide Controls

Local Government Wide Controls are activities that reduce the overall bushfire risk within the Shire of Ashburton. These types of activities are not linked to specific assets, and are applied across all or part of the Local Government as part of normal business or due to legislative requirements. Some notable controls currently in place across the Shire of Ashburton are:

- State-wide arson prevention programs developed in conjunction with the WA Police and DFES.
- Year round restricted burning implemented across the Shire.
- Fire mitigation conducted by DFES and DBCA on Unmanaged Reserves and Unallocated Crown Land.
- Public education and preparedness campaigns conducted by DFES including the 'Got 15 Minutes to Burn?' campaign.
- Local Emergency Management Arrangements and Local Emergency Management Committee meetings.
- The Australian Fire Danger Rating System signage, information and campaigns.
- The Shire of Ashburton Website – Disaster Dashboard

Further information about the Local Government Wide Controls and how they will support the treatment of bushfire risk can be found in Appendix A.



4. Asset Identification and Risk Assessment

Assets at risk from bushfire in the Shire of Ashburton are recorded in the Asset Risk Register in the BRMS. Assets are divided into four categories: human settlement, economic, climate, and cultural. Each asset has been assigned a bushfire risk rating between low and extreme based on the risk assessment methodology described in the Guidelines and Handbook.

Due to the distribution and challenges posed by mapping environmental assets within the Shire of Ashburton which may potentially be threatened by bushfires, these species and communities across the Shire they have not been captured in the BRMS. They are instead listed in Appendix B of the BRM Plan and discussed in the Important Species and Communities section of the Plan.

4.1. Local Government Asset Risk Profile

A summary of the risks assessed in the Shire of Ashburton is shown in Table 6. This table shows the proportion of assets at risk from bushfire in each risk category at the time the BRM Plan was endorsed. This table was correct at the time of publication but may become outdated as risks are treated or additional risks are identified and assessed. A report may be generated from the BRMS to provide the most current risk profile.

Table 6 - Local Government Risk Summary

Asset Category	Risk Rating					
		Low	Medium	High	Very High	Extreme
	Human Settlement	11.4%	11.1%	18.4%	7.3%	19.6%
	Economic	3.8%	4.7%	5.1%	8.9%	8.2%
	Environmental	0%	0%	0%	0%	0%
	Cultural	0%	0%	0.3%	0.9%	0.3%

5. Risk Evaluation

5.1. Risk Acceptance Criteria

The acceptable level of risk for each category is shown in Table 7. A risk that is assessed as exceeding these limits will be considered for treatment. Risk below the acceptable level does not require treatment during the life of this BRM Plan. They will be managed by routine local government wide controls and monitored to detect any increase in their risk rating.

Table 7 - Risk acceptance criteria for bushfire risk in the Shire of Ashburton

	Asset Category			
	Human Settlement	Economic	Environmental	Cultural
Acceptable Risk Level	Medium	Medium	Medium	Medium

5.2. Treatment Priorities

The treatment priority for each asset is automatically assigned by BRMS, based on the asset's risk rating. Table 8 shows how consequence and likelihood combine to give the risk rating and subsequent treatment priority for an asset. The treatment priority assigned in BRMS will help inform decision making for risk acceptability and development of the Treatment Strategy and schedule.

Table 8 - Treatment Priorities

Likelihood	Consequence				
		Minor	Moderate	Major	Catastrophic
	Almost Certain	3D (High)	2C (Very High)	1C (Extreme)	1A (Extreme)
	Likely	4C (Medium)	3A (High)	2A (Very High)	1B (Extreme)
	Possible	5A (Low)	4A (Medium)	3B (High)	2B (Very High)
	Unlikely	5C (Low)	5B (Low)	4B (Medium)	3C (High)



6. Risk Treatment

The purpose of risk treatment is to reduce the potential impact of bushfire on the community, economy and environment. This is achieved by implementing treatments that modify the characteristics of the hazard, the community or the environment to make bushfires less likely or less harmful.

6.1. Treatment Strategy

The Treatment Strategy describes the overall approach to managing bushfire risk in the medium to long term in the Shire of Ashburton. The strategy is shaped by factors such as the distribution of risk in the landscape, the community's values and objectives, stakeholders' mitigation programs and constraints on treatment options. for bushfire risk management within the Shire of Ashburton. The Treatment Strategy helps guide the development of integrated annual treatment schedules.

Priorities of the Shire of Ashburton Treatment Strategy are:

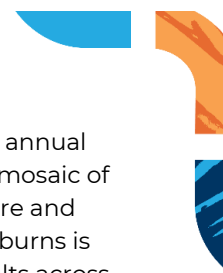
- Maintain low fuel buffers around towns through upgrades to strategic mineral earth breaks and prescribed burning.
- Conduct mulching/slashing in strategic corridors around Onslow to create low fuel buffers.
- Implement and maintain the prescribed burning programs throughout towns to manage fuel loads.

The townsites of Onslow and Pannawonica are the higher priorities for conducting mitigation works due to the higher fuel loads in and around the towns including around key infrastructure.

In coastal areas, particularly around Onslow, there is a higher preference for the slashing and mulching over vegetation over burning when reducing fuel loads in order to retain ground coverage to minimise erosion and sand blow. This should be considered when planning and conducting treatments into the future where practical.

The maintenance of low fuel buffers around the towns, particularly Tom Price and Paraburdoo is done with the construction and maintenance of a series of mineral earth fire breaks which then allow for prescribed burning to maintain reduced fuel loads and back burning in the case of an approaching bushfire. The timing and opportunity to conduct prescribed burns within and around townsites is highly dependent on seasonal and weather conditions which ensure the objectives of the burn are safely achieved.

Due to Pannawonica being a closed town, the treatment of risk within and immediately surrounding the town is managed by private industry. Ongoing consultation and discussion between the Shire of Ashburton and stakeholders will be conducted to ensure the appropriate treatment and reduction of risk within and surrounding town including around key infrastructure.



Across the broader landscape throughout their managed tenure, DBCA's annual burning program includes strategic landscape aerial burning to create a mosaic of fuel of varying ages as well as on ground burning around key infrastructure and assets such as vital transport corridors. The timing and selection of these burns is heavily dependent on environmental conditions in order to optimise results across the landscape.

6.2. Treatment Schedule

The Treatment Schedule is a list of bushfire risk treatments recorded within BRMS. The Shire of Ashburton will be focusing on developing a program of works that covers activities to be undertaken within the first year after the approval of the BRM Plan. The Treatment Schedule will evolve and develop throughout the life of the BRM Plan.

The Shire of Ashburton Treatment Schedule is a live document managed on BRMS. It is designed by the outcome of the risk assessment process and Treatment Strategy. The Treatment Schedule will continue to be developed in broad consultation with land owners and other stakeholders.

Land managers are responsible for implementing treatments on their own land. This includes any costs associated with the treatment and obtaining the relevant approvals, permits or licences to undertake an activity. Where agreed, another agency may manage a treatment on behalf of a land owner. However, the onus is still on the land owner to ensure treatments detailed in this BRM Plan's Treatment Schedule are completed.



7. Monitoring and Review

Monitoring and review processes are in place to ensure that the BRM Plan remains current and based on the best available information.

7.1. Monitoring and Review

The Shire of Ashburton will monitor the BRM Plan BRMS data to identify any need for change. The Plan and BRMS data will be reviewed at least every two years to ensure it continues to reflect the local context, assets at risk, level of risk and treatment priorities.

7.2. Reporting

The Shire of Ashburton CEO or their delegate will provide to OBRM the outcomes of biennial reviews of the BRM Plan. This is required to maintain OBRM endorsement of the Plan.

The Shire of Ashburton will contribute information about their BRM Program to the annual OBRM *Fuel Management Activity Report*.



8. Glossary

Asset	A term used to describe anything of value that may be adversely impacted by bushfire. This may include residential houses, infrastructure, commercial, agriculture, industry, environmental, cultural and heritage sites.
Asset Category	There are four categories that classify the type of asset – Human Settlement, Economic, Environmental and Cultural.
Asset Owner	The owner, occupier or custodian of the asset itself. Note: this may differ from the owner of the land the asset is located on, for example a communication tower located on leased land or private property.
Asset Register	A component within the Bushfire Risk Management System (BRMS) used to record the details of assets identified in the Bushfire Risk Management Plan (BRM Plan).
Asset Risk Register	A report produced within the BRMS that details the consequence, likelihood, risk rating and treatment priority for each asset identified in the BRM Plan.
Bushfire	Unplanned vegetation fire. A generic term which includes grass fires, forest fires and scrub fires both with and without a suppression objective.
Bushfire Hazard	The hazard posed by the classified vegetation, based on the vegetation category, slope and separation distance.
Bushfire Risk	The chance of a bushfire igniting, spreading and causing damage to the community or the assets they value.
Bushfire Risk Management	A systematic process to coordinate, direct and control activities relating to bushfire risk with the aim of limiting the adverse effects of bushfire on the community.
Consequence	The outcome or impact of a bushfire event.
Land Owner	The owner of the land, as listed on the Certificate of Title; or leaser under a registered lease agreement; or other entity that has a vested responsibility to manage the land.
Likelihood	The chance of something occurring. In this instance, it is the potential of a bushfire igniting, spreading and impacting on an asset.
Locality	The officially recognised boundaries of suburbs (in cities and larger towns) and localities (outside cities and larger towns).



Risk Analysis	The application of consequence and likelihood to an event in order to determine the level of risk.
Risk Assessment	The systematic process of identifying, analysing and evaluating risk.
Risk Evaluation	The process of comparing the outcomes of risk analysis to the risk criteria in order to determine whether a risk is acceptable or tolerable.
Risk Identification	The process of recognising, identifying and describing risks.
Risk Register	A component within the BRMS used to record, review and monitor risk assessments and treatments associated with assets recorded in the BRM Plan.
Risk Treatment	A process to select and implement appropriate measures undertaken to modify risk.
Rural Urban Interface (RUI)	The line or area where structures and other human development adjoin or overlap with undeveloped bushland.
Slope	The angle of the ground's surface measured from the horizontal.
Systemic Risk	The impacts of bushfire on the interconnected systems and networks that support community function. It is a product of the disruption caused by fire to normal life and its effects may be felt far from the direct impacts of the fire in both time and space.
Treatment	An activity undertaken to modify risk, for example a planned burn.
Treatment Objective	The specific aim to be achieved or action to be undertaken, in order to complete the treatment. Treatment objectives should be specific and measurable.
Treatment Priority	The order, importance or urgency for allocation of funding, resources and opportunity to treatments associated with a particular asset. The treatment priority is based on an asset's risk rating.
Treatment Schedule	A report produced within the BRMS that details the treatment priority of each asset identified in the BRM Plan and the treatments scheduled.
Treatment Strategy	The general approach that will be used to manage bushfire risk, in consideration of the local government context and objectives.
Treatment Type	The specific treatment activity that will be implemented to modify risk, for example a planned burn.
Vulnerability	The susceptibility of an asset to the impacts of bushfire.



9. Common Abbreviations

AFAC	Australasian Fire and Emergency Services Authorities Council
BFAC	Bush Fire Advisory Committee
BRM	Bushfire Risk Management
BMF	Bushfire Mitigation Branch (DFES)
BRM Plan	Bushfire Risk Management Plan
BRMS	Bushfire Risk Management System
DBCA	Department of Biodiversity, Conservation and Attractions
DFES	Department of Fire and Emergency Services
DPLH	Department of Planning, Lands and Heritage
EPBC Act	<i>Environmental Protection and Biodiversity Conservation Act 1999</i>
GIS	Geographical Information System
HAZMAT	Hazardous Materials
LEMC	Local Emergency Management Committee
OBRM	Office of Bushfire Risk Management (DFES)
PEC	Priority Ecological Community
SEMC	State Emergency Management Committee
TEC	Threatened Ecological Community
UCL	Unallocated Crown Land
UMR	Unmanaged Reserve
WA	Western Australia



10. Appendices

Appendix A	Local Government Wide Controls
Appendix B	Protected Species and Communities
Appendix C	Communication Plan



Agenda Item 6.3 - Attachment 2

BRMP Appendix A LG Wide Controls



Bushfire Risk Management Plan Appendix A

Local Government Wide Controls

Control		Action or activity description	Lead agency	Other stakeholder(s)	Notes and comments
Ref No	What is the control in place?	What is the name of the specific action or activity?	Who is the agency responsible for implementation of the control?	Are there any other key stakeholders who contribute to the success of the control?	Provide a brief description of the action or activity, such as community education campaigns, including its contribution to bushfire risk management in the local government, target areas, key timeframes and any work being undertaken to improve the control.
1	Fire Break Notice	<ul style="list-style-type: none"> Fire Break Notice in accordance with the <i>Bush Fires Act 1954</i> section 33 Inspections conducted in accordance with notice 	Shire of Ashburton	<ul style="list-style-type: none"> Landowners DFES 	<ul style="list-style-type: none"> Reviewed and published annually Designed for consistency across all Pilbara Local Governments
2	Burning Restrictions	<ul style="list-style-type: none"> Restricted burning year round 	Shire of Ashburton	<ul style="list-style-type: none"> Landowners DFES 	<ul style="list-style-type: none"> Year round restrictions due to variability of seasons Permits to burn available from the Shire of Ashburton
3	TFBs	<ul style="list-style-type: none"> Total Fire Bans Restrictions on activities which may cause fire 	DFES	<ul style="list-style-type: none"> Landowners Shire of Ashburton 	<ul style="list-style-type: none"> Generally imposed for a 24 hour period due to potential fire weather conditions or resource availability Usually advertised the day before Exemptions available
4	LEMA and LEMCs	<ul style="list-style-type: none"> Local Emergency Management Arrangements 	Shire of Ashburton	<ul style="list-style-type: none"> DFES Numerous other government and 	<ul style="list-style-type: none"> Community focused arrangements and committee focused around supporting emergency management



		<ul style="list-style-type: none"> Local Emergency Management Committees 		non-government stakeholders	<ul style="list-style-type: none"> Able to provide advice and support in relation to emergency management Key group for stakeholder engagement
5	Shire of Ashburton Mitigation program	<ul style="list-style-type: none"> Fire break and other fire mitigation program to reduce fuel loads and provide strategic breaks in preparation for bushfire 	Shire of Ashburton		<ul style="list-style-type: none"> Works include slashing, mulching, burning and other mechanical treatments
6	DFES UCL/UMR works program	<ul style="list-style-type: none"> Mitigation program on UCL and UMR within gazetted townsites 	DFES	<ul style="list-style-type: none"> Shire of Ashburton 	<ul style="list-style-type: none"> Annual budget for mitigation works Recorded in DFES Mitigation Mapper
7	DBCA works program	<ul style="list-style-type: none"> Mitigation program on UCL and UMR outside of gazetted townsites, managed reserves and critical transport corridors 	DBCA	<ul style="list-style-type: none"> Shire of Ashburton Traditional Owners 	<ul style="list-style-type: none"> Annual plan reviewed with stakeholders Works conducted in a strategic, mosaic fashion
8	Welcome to Town events	<ul style="list-style-type: none"> Annual Welcome to Town events held in each town across the Shire 	Shire of Ashburton	<ul style="list-style-type: none"> Community 	<ul style="list-style-type: none"> Opportunity to disseminate bushfire preparedness information to new and existing residents
9	Arson prevention programs	<ul style="list-style-type: none"> Includes Juvenile and Family Fire Awareness (JAFFA) Program 	DFES	<ul style="list-style-type: none"> Youth Justice Services Community 	<ul style="list-style-type: none"> Education program around fire safety for young people aged 6-16 and their carers
10	Public education and preparedness campaigns	<ul style="list-style-type: none"> Includes the 'Got 15 Minutes to Burn?' Campaign 	DFES	<ul style="list-style-type: none"> Community Shire of Ashburton 	<ul style="list-style-type: none"> Aim to increase awareness and preparedness of the community to bushfire



Agenda Item 6.3 - Attachment 3

BRMP Appendix B Protected Species and Communities



Bushfire Risk Management Plan Appendix B Protected Species and Communities

Ecological Communities

Table 1 - Number of conservation significant ecological communities in the Shire of Ashburton

Conservation Status	Number of Species
Priority 1	12
Priority 2	1
Priority 3	6
Priority 4	4
Threatened – Vulnerable	1

There is one Ecological community listed under the *Biodiversity Conservation Act 2016* within the Shire of Ashburton:

- Themeda grasslands on cracking clays (Hamersley Station, Pilbara) – Vulnerable

Flora

Table 2 - Number of conservation significant flora in the Shire of Ashburton

Conservation Status	Number of Species
Priority 1	25
Priority 2	30
Priority 3	67
Priority 4	11
Threatened – Vulnerable	1
Threatened – Endangered	2

Table 3 - Flora species found within the Shire of Ashburton listed under the Biodiversity Conservation Act 2016

Scientific Name	Conservation Status
<i>Aluta quadrata</i>	Endangered
<i>Synostemon hamerleyensis</i>	Endangered
<i>Thryptomene witteri</i>	Vulnerable

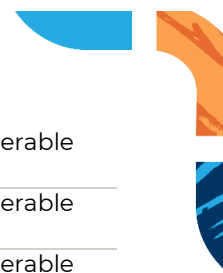
Fauna

Table 4 - Numbers of conservation significant fauna in the Shire of Ashburton

Conservation Status	Number of Species
Priority 1	6
Priority 2	5
Priority 3	2
Priority 4	13
Conservation dependent	2
Migratory or specially protected	48
Threatened – Vulnerable	35
Threatened – Endangered	2
Threatened – Critically Endangered	5

Table 5 - Fauna species found within the Shire of Ashburton listed under the Biodiversity Conservation Act 2016 (not including marine fauna)

Scientific Name	Common Name	Conservation Status
<i>Nedsia hurlberti</i>	A freshwater amphipod	Threatened – Vulnerable
<i>Nedsia sculptilis</i>	A freshwater amphipod	Threatened – Vulnerable
<i>Nedsia humphreysi</i>	A freshwater amphipod	Threatened – Vulnerable
<i>Nedsia urifimbriata</i>	A freshwater amphipod	Threatened – Vulnerable



<i>Nedsia fragilis</i>	A freshwater amphipod	Threatened – Vulnerable
<i>Nedsia macrosculptilis</i>	A freshwater amphipod	Threatened – Vulnerable
<i>Nedsia straskraba</i>	A freshwater amphipod	Threatened – Vulnerable
<i>Thalassarche chlororhynchos</i>	Atlantic yellow-nosed albatross	Threatened – Vulnerable
<i>Anous tenuirostris melanops</i>	Australian lesser noddie	Threatened – Endangered
<i>Rostratula australis</i>	Australian painted snipe	Threatened – Endangered
<i>Milyeringa justitia</i>	Barrow cave gudgeon	Threatened – Vulnerable
<i>Malurus leucopterus edouardi</i>	Barrow Island black and white fairy-wren	Threatened – Vulnerable
<i>Bogidomma australis</i>	Barrow Island bogidomma amphipod	Threatened – Vulnerable
<i>Draculoides bramstokeri</i>	Barrow Island draculoides	Threatened – Vulnerable
<i>Osphranter robustus isabellinus</i>	Barrow Island euro	Threatened – Vulnerable
<i>Isoodon auratus barrowensis</i>	Barrow Island golden bandicoot	Threatened – Vulnerable
<i>Liagoceradocus subthalassicus</i>	Barrow Island liagoceradocus amphipod	Threatened – Vulnerable
<i>Speleostrophus nesiotis</i>	Barrow Island millipede	Threatened – Vulnerable
<i>Lagorchestes conspicillatus conspicillatus</i>	Barrow Island spectacled hare-wallaby	Threatened – Vulnerable
<i>Limosa lapponica menzbieri</i>	Bar-tailed godwit (northern Siberian)	Threatened – Critically Endangered
<i>Macrotis lagotis</i>	Bilby, dalgite, ninu	Threatened – Vulnerable
<i>Petrogale lateralis lateralis</i>	Black-flanked rock-wallaby, black-footed rock-wallaby, moororong	Threatened – Endangered
<i>Ophisternon candidum</i>	Blind cave eel	Threatened – Vulnerable
<i>Calidris ferruginea</i>	Curlew sandpiper	Threatened – Critically Endangered
<i>Numenius madagascariensis</i>	Eastern curlew	Threatened – Critically Endangered
<i>Sternula nereis nereis</i>	Fairy tern	Threatened – Vulnerable
<i>Natator depressus</i>	Flatback turtle	Threatened – Vulnerable
<i>Macroderma gigas</i>	Ghost bat	Threatened – Vulnerable



<i>Isoodon auratus auratus</i>	Golden bandicoot (mainland), wintarru	Threatened – Vulnerable
<i>Calidris tenuirostris</i>	Great knot	Threatened – Critically Endangered
<i>Charadrius leschenaultii</i>	Greater sand plover, large sand plover	Threatened – Vulnerable
<i>Falco hypoleucos</i>	Grey falcon	Threatened – Vulnerable
<i>Puffinus huttoni</i>	Hutton's shearwater	Threatened – Endangered
<i>Charadrius mongolus</i>	Lesser sand plover	Threatened – Endangered
<i>Paradraculoides anachoretus</i>	Mesa A paradraculoides	Threatened – Vulnerable
<i>Paradraculoides bythius</i>	Mesa B/C paradraculoides	Threatened – Vulnerable
<i>Paradraculoides gnophicola</i>	Mesa G paradraculoides	Threatened – Vulnerable
<i>Paradraculoides kryptus</i>	Mesa K paradraculoides	Threatened – Vulnerable
<i>Draculoides mesozeirus</i>	Middle Robe draculoides	Threatened – Vulnerable
<i>Pezoporus occidentalis</i>	Night parrot	Threatened – Critically Endangered
<i>Trichosurus vulpecula arnhemensis</i>	Northern brushtail possum (Kimberley)	Threatened – Vulnerable
<i>Dasyurus hallucatus</i>	Northern quoll	Threatened – Endangered
<i>Lepidochelys olivacea</i>	Olive ridley turtle	Threatened – Endangered
<i>Rhinonictes aurantia (Pilbara form)</i>	Pilbara leaf-nosed bat	Threatened – Vulnerable
<i>Liasis olivaceus barroni</i>	Pilbara olive python	Threatened – Vulnerable
<i>Erythrotriorchis radiatus</i>	Red goshawk	Threatened – Vulnerable
<i>Calidris canutus</i>	Red knot	Threatened – Endangered
<i>Perameles bougainville</i>	Shark Bay bandicoot, western barred bandicoot, little marl	Threatened – Vulnerable



Agenda Item 6.3 - Attachment 4

BRMP Appendix C Communications Plan



Bushfire Risk Management Plan Appendix C

Communication Plan

2024 - 2026





Introduction

This Communication Plan supports the development, implementation and review of the Shire of Ashburton Bushfire Risk Management (BRM) Plan. It documents the:

- Communication objectives.
- Roles and responsibilities for communication.
- Key stakeholders engaged in the development of the BRM Plan and Treatment Schedule.
- The implementation and review of the BRM Plan including; target audiences and key messages at each project stage, communication risks and strategies for their management, and communication monitoring and evaluation procedures.



1. Communications Overview

Communication Objectives

The communication objectives for the development, implementation and review of the BRM Plan for the Shire of Ashburton are as follows:

1. Key stakeholders understand the purpose of the BRM Plan and their role in the BRM planning process.
2. Stakeholders who are essential to the BRM planning process, or can supply required information, are identified and engaged in a timely and effective manner.
3. Relevant stakeholders are involved in decisions regarding risk acceptability and treatment.
4. Key stakeholders engage in the review of the BRM Plan as per the schedule in place for the Local Government.
5. The community and other stakeholders engage with the BRM planning process and as a result are better informed about bushfire risk and understand their responsibilities to address bushfire risk on their own land.

Communication Roles and Responsibilities

The Shire of Ashburton is responsible for the development, implementation and review of the Communication Strategy. Key stakeholders support local government by participating in the development and implementation of the Communications Strategy as appropriate. An overview of communication roles and responsibilities follows:

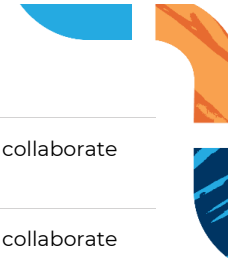
- CEO, Shire of Ashburton, is responsible for endorsement of the BRM Plan Communications Strategy.
- Communications and Media Team, Shire of Ashburton, responsible for external communication with the local government area.
- Manager Regulatory Services, Shire of Ashburton, responsible for operational-level communication between the Shire and the Department of Fire and Emergency Services.



Key Stakeholders for Communication

The following table identifies key stakeholders in BRM planning process, its implementation and review. These are stakeholders that are identified as having a significant role or interest in the planning process or are likely to be significantly impacted by the outcomes.

Stakeholder	Role or Interest	Level of Impact of Outcomes	Level of Engagement
Who is the stakeholder? Consider government agencies, interest groups and service providers.	What is their role or interest that makes them a stakeholder? Consider if they are an asset owner, land owner or manager, treatment manager or interested party.	Consider how the implementation of the BRM Plan will impact each stakeholder and then assign them a rating of High, Medium or Low.	What level of engagement is necessary for the stakeholder? Inform, consult, involve, collaborate or empower?
Shire of Ashburton	<ul style="list-style-type: none"> BRM Plan owner Develop, manage and review BRM Plan Treatment manager for owned/managed lands 	High	Inform, consult, involve, collaborate and empower
DFES	<ul style="list-style-type: none"> Support development of BRM Plan Treatment manager for UCL/UMR within gazetted townsites Administer the Mitigation Activity Fund Grant Program and assist with treatment implementation 	High	Inform, consult, involve, collaborate
DBCA	<ul style="list-style-type: none"> Land owner/manager Treatment manager for managed land including UCL/UMR outside of gazetted townsites Provide expert advice in the development of the BRM Plan and treatment implementation 	Medium	Inform, consult, involve, collaborate and empower



Local Community and Land Holders	<ul style="list-style-type: none"> Land owner/manager Support treatment implementation Interested party 	High	Inform, consult, involve, collaborate and empower
Industry/mining	<ul style="list-style-type: none"> Land owner/manager Support treatment implementation Interested party 	High	Inform, consult, involve, collaborate and empower
Pastoralists	<ul style="list-style-type: none"> Land owner/manager Support treatment implementation Interested party 	High	Inform, consult, involve, collaborate and empower
Local Brigades	<ul style="list-style-type: none"> Support BRM Plan development Support treatment implementation 	Medium	Inform, consult and involve
LEMC	<ul style="list-style-type: none"> Support BRM Plan development, implementation and review Interest in community safety 	High	Inform, consult, involve, collaborate and empower
T/Os	<ul style="list-style-type: none"> Land and asset owner/manager Heritage and cultural interest Support treatment implementation 	Medium	Consult, involve, collaborate and empower
DPLH	<ul style="list-style-type: none"> Land and asset owner/manager Manage crown land other than UCL/UMR 	Medium	Inform, consult, involve and collaborate
Main Roads & other Govt. agencies	<ul style="list-style-type: none"> Asset owners Implement treatments on managed lands Advise on asset location/management 	Medium	Inform, consult, involve, collaborate and empower



2. Communications Log – Development of the BRM Plan and Treatment Schedule

This Communications Log captures the communications with key internal and external stakeholders that occurred during the development of the BRM Plan and associated Treatment Schedule. Record any significant conversations, community engagement events, emails, meetings, presentations, workshops and other communication initiatives.

Timing of Communication	Stakeholders	Purpose	Summary	Communication Method	Issues and Lesson Identified	Follow up
When did this communication occur?	Who was the stakeholder or target audience?	What was the purpose of the communication?	What topics were discussed?	What communication method did you use?	Were there any issues or lessons identified?	Was there any follow up required?
Development of the BRM Plan						
27/9/2023	Shire of Ashburton	1, 2	<ul style="list-style-type: none"> Inform and consult on planning process Discuss requirements and expectations 	Online meeting	<ul style="list-style-type: none"> Potential time constraints 	<ul style="list-style-type: none"> Information sharing Project updates
4/10/2023	DFES – reports	2	<ul style="list-style-type: none"> Obtain historical fire data required for the Plan 	Email	Nil	Nil
5/10/2023	DBCA	1, 2	<ul style="list-style-type: none"> Obtain information on environmental sensitivities 	Email	Nil	<ul style="list-style-type: none"> Further follow ups for additional information
October 2023 – June 2024	Shire of Ashburton	1 – 3	<ul style="list-style-type: none"> Formatting of Plan 	Email, phone, teams meetings, in person	Nil	<ul style="list-style-type: none"> Further follow ups for additional



			<ul style="list-style-type: none"> • Discussion of contextual information • Asset identification • Project updates 			information as required
October 2023 – June 2024	DFES Pilbara region	1, 2, 5	<ul style="list-style-type: none"> • Obtain contextual information • Inform and consult 	Email	<ul style="list-style-type: none"> • Availability of resources – conflicting with operational requirements 	<ul style="list-style-type: none"> • Further follow ups for additional information as required
21/11/2023	Onslow LEMC	1, 2, 5	<ul style="list-style-type: none"> • Provide overview of BRM Program and Plan 	Online meeting	Nil	<ul style="list-style-type: none"> • Updates at future meetings
21/11/2023	Chevron	1 – 3, 5	<ul style="list-style-type: none"> • Discuss Wheatstone asset and risk 	Email	Nil	<ul style="list-style-type: none"> • Further discussion and trip to site
22/11/2023	Pannawonica LEMC	1, 2, 5	<ul style="list-style-type: none"> • Provide overview of BRM Program and Plan 	Online meeting	Nil	<ul style="list-style-type: none"> • Updates at future meetings
14/12/2023	Chevron	2, 5	<ul style="list-style-type: none"> • Visit to Wheatstone facility to assess and discuss risk 	In person	Nil	<ul style="list-style-type: none"> • As required
23/01/2024	DBCA – Pilbara Regional Fire Coordinator	1, 2	<ul style="list-style-type: none"> • Discuss DBCA programs 	Online meeting	Nil	<ul style="list-style-type: none"> • As required
30/01/2024	DBCA – Barrow Island	1, 2	<ul style="list-style-type: none"> • Discuss fire management and obtain contextual information 	Phone	<ul style="list-style-type: none"> • Resources and tenure • Conflicting priorities 	<ul style="list-style-type: none"> • As required



Feb 2024	Chevron	1, 2, 5	<ul style="list-style-type: none"> Discuss Barrow Island fire risk and management 	Phone, email	<ul style="list-style-type: none"> Resources and tenure Conflicting priorities 	<ul style="list-style-type: none"> As required
March 2024	DBCA – Pilbara Environmental Officer	1, 2	<ul style="list-style-type: none"> Environmental sensitivities and considerations 	Phone, email	Nil	<ul style="list-style-type: none"> As required

Development of the Treatment Schedule

January 2024	DBCA – Pilbara Regional Fire Coordinator	2	<ul style="list-style-type: none"> Discuss DBCA programs 	Online meeting	Nil	<ul style="list-style-type: none"> As required
March 2024	Shire of Ashburton	1 – 3	<ul style="list-style-type: none"> Plan and discuss treatments and future steps 	Online meeting	<ul style="list-style-type: none"> Stakeholder engagement 	<ul style="list-style-type: none"> Further conversations regarding works Follow ups with external stakeholders
March 2024	DFES – Pilbara Region	2	<ul style="list-style-type: none"> Discuss mitigation works 	Online meeting	<ul style="list-style-type: none"> Potential development of a Pilbara Fire Working Group 	<ul style="list-style-type: none"> As required



3. Communications Plan – Implementation of the BRM Plan

This Communications Plan outlines the key communication initiatives that will be undertaken during the implementation of the BRM Plan.

Timing of communication	Stakeholders	Communication Objective(s)	Communication Method	Key Message or Purpose	Responsibility	Identified Risks to Communication	Strategy to Manage Risks	Monitoring and Evaluation Method
What is the timeframe or date for this communication?	Who is the stakeholder(s) or target audience?	Which communication objective(s) does this activity support or achieve?	How are you communicating (e.g. email, meetings) and how often? What resources are required?	What is the key message or purpose that needs to be understood?	Who is responsible for planning and undertaking the communication activity?	What could reduce the effectiveness of the communication?	What will be done to reduce the likelihood of this happening?	How will you know if your communication was successful?

Implementation of the BRM Plan

Life of the Plan	Shire of Ashburton CEO & Executive Management Team	1 – 5	Meetings, emails	<ul style="list-style-type: none"> Progress updates Continue to inform and consult regarding treatments Stakeholder engagement Budget requirements 	CEO or delegate	<ul style="list-style-type: none"> Competing priorities Budget constraints Availability of staff 	<ul style="list-style-type: none"> Updates regularly given Clear messaging and purpose 	<ul style="list-style-type: none"> Questions asked Level of support received Feedback received
Annually	Shire of Ashburton Council	1 – 5	Meetings	<ul style="list-style-type: none"> Progress updates Budget requirements 	CEO or delegate	<ul style="list-style-type: none"> Competing priorities Budget constraints 	<ul style="list-style-type: none"> Updates regularly given Clear messaging and purpose 	<ul style="list-style-type: none"> Questions asked Level of support received Feedback received



Life of the Plan	DFES – Pilbara Region	1 – 3	Meetings, email, phone	<ul style="list-style-type: none"> Progress updates Inform and consult on treatment schedule and planned works 	CEO or delegate	<ul style="list-style-type: none"> Competing priorities Resourcing constraints 	<ul style="list-style-type: none"> Regular communication Clear messaging and purpose 	<ul style="list-style-type: none"> Level of engagement Collaboration with treatments being identified and implemented
As required	DBCA	1 – 5	Meetings, email, phone	<ul style="list-style-type: none"> Consultation regarding treatments Potential to collaborate on treatments 	CEO or delegate	<ul style="list-style-type: none"> Competing priorities Resourcing constraints 	<ul style="list-style-type: none"> Timing of communication Clear messaging and purpose 	<ul style="list-style-type: none"> Level of engagement Collaboration with potential treatments implemented
Annually	LEMCS	1 – 5	Meetings	<ul style="list-style-type: none"> Progress updates Continue to inform and consult 	CEO or delegate	<ul style="list-style-type: none"> Competing priorities Availability of members Timing of reporting 	<ul style="list-style-type: none"> Clear messaging and purpose 	<ul style="list-style-type: none"> Questions asked Level of support received Feedback received
As required	Stakeholders, land managers, service providers, Traditional Owners	1 – 3, 5	Meetings, email, phone	<ul style="list-style-type: none"> Consult Discussions around risk and treatments 	CEO or delegate	<ul style="list-style-type: none"> Lack of 'buy in' Competing priorities Resource availability 	<ul style="list-style-type: none"> Messaging and purpose relevant to stakeholder 	<ul style="list-style-type: none"> Questions asked Feedback received Treatments implemented to reduce risk



Agenda Item 6.3 - Attachment 5

BRMP Letter of Endorsement from OBRM



Government of **Western Australia**
Department of **Fire & Emergency Services**



Our Ref: 24/214993
Your Ref: 2452161

Kenn Donohoe
Chief Executive Officer
Shire of Ashburton
246 Poinciana Street
TOM PRICE WA 6751

Dear Mr Donohoe

ENDORSEMENT OF BUSHFIRE RISK MANAGEMENT PLAN

Thank you for providing the Shire of Ashburton's Bushfire Risk Management (BRM) Plan received by the Office of Bushfire Risk Management (OBRM) on 15 July 2024.

I am pleased to inform you that the Shire of Ashburton BRM Plan has been endorsed by OBRM. This signifies it meets the standard required by the Guidelines for Preparing a Bushfire Risk Management Plan (the Guidelines). We recommend the BRM Plan is now presented to Council for approval.

BRM Plans and the data that support them should be reviewed regularly and updated to reflect any changes that have occurred in the local government area. OBRM will request confirmation the Shire Ashburton's BRM Plan has been reviewed on 30 May 2027. More information on the review process can be found in the Guidelines and we will contact the Shire nearer the review date.

The Shire of Ashburton will also be required to respond to an annual survey detailing progress in managing bushfire risk. You will receive the survey in July 2024, and I thank you in advance for your contribution to helping us understand the state of bushfire risk across Western Australia.

Thank you for your Shire's commitment to managing bushfire risk and I wish you well in implementing the Plan.

Yours sincerely

Glen Daniel
DIRECTOR OBRM
16 July 2024

PO Box P1174 Perth WA 6844
Cockburn Emergency Services Complex
20 Stockton Bend, Cockburn Central WA 6164