



# **UNCONFIRMED MINUTES**

**Audit, Risk and Improvement  
Committee Meeting  
Tuesday, 9 June 2026**

**Date: Tuesday, 9 June 2026**

**Time: 3:00pm**

**Location: Council Chambers, York Town Hall, York**

**Order Of Business**

<b>1</b>	<b>Opening</b> .....	<b>3</b>
1.1	Declaration of Opening.....	3
1.2	Acknowledgement / Disclaimer .....	3
1.3	Attendance via Electronic Means .....	3
1.4	Standing Orders.....	3
1.5	Announcement of Visitors .....	3
1.6	Declarations of Proximity Interest.....	3
1.7	Declaration of Financial Interests .....	4
1.8	Disclosure of Interests that May Affect Impartiality .....	4
<b>2</b>	<b>Attendance</b> .....	<b>4</b>
2.1	Members .....	4
2.2	Staff .....	4
2.3	Apologies .....	4
2.4	Leave of Absence Previously Approved .....	4
2.5	Number of People in the Gallery at Commencement of Meeting .....	4
<b>3</b>	<b>Questions from Previous Meetings</b> .....	<b>4</b>
<b>4</b>	<b>Public Question Time</b> .....	<b>4</b>
4.1	Written Questions – Current Agenda.....	5
4.2	Public Question Time .....	5
<b>5</b>	<b>Applications For Leave of Absence</b> .....	<b>5</b>
<b>6</b>	<b>Presentations</b> .....	<b>5</b>
<b>7</b>	<b>Confirmation of Minutes of Previous Meetings</b> .....	<b>5</b>
<b>8</b>	<b>Announcements by Presiding Member Without Discussion</b> .....	<b>6</b>
<b>9</b>	<b>Officer's Reports</b> .....	<b>7</b>
9.1	Business Continuity Plan.....	7
9.2	Draft Integrity Framework.....	54
9.3	IT Disaster Recovery Plan.....	67
9.4	Review of Council Policy F4 - Investment.....	97
9.5	Risk Management Update as at June 2026.....	105
9.6	Update on the Findings Identified During Annual Financial Audits.....	114
<b>10</b>	<b>Motions of which Previous Notice has been given</b> .....	<b>122</b>
<b>11</b>	<b>Questions from Members without Notice</b> .....	<b>122</b>
<b>12</b>	<b>Business of an Urgent Nature Introduced by Decision of the Meeting</b> .....	<b>122</b>
<b>13</b>	<b>Closure</b> .....	<b>122</b>

**MINUTES OF SHIRE OF YORK  
AUDIT, RISK AND IMPROVEMENT COMMITTEE MEETING  
HELD AT THE COUNCIL CHAMBERS, YORK TOWN HALL, YORK  
ON TUESDAY, 9 JUNE 2026 AT 3:00PM**

**1 OPENING**

1.1 Declaration of Opening

*Presiding Member Shona Zulsdorf, Presiding Member, declared the meeting open at 3.02 pm.*

1.2 Acknowledgement / Disclaimer

The Presiding Member advised the following:

*“The Shire of York Audit, Risk and Improvement Committee acknowledges the Ballardong people of the Noongar Nation who are the Traditional Owners of the country where this meeting is being held and recognise their continuing connection to land, water, sky and culture. We pay our respects to all these people and their Elders past, present and emerging.*

*In accordance with Regulations 14I and 14J of the Local Government (Administration) Regulations 1996, notice is given that this meeting is being video and audio recorded to facilitate community participation and for minute-taking purposes. By being present at a meeting, members of the public consent to the possibility that their image and voice may be recorded. Audio recordings are published on the Shire’s website following the meeting and may be released upon request to third parties.*

*Members of the public are reminded that, in accordance with Section 6.16 of the Shire of York Local Government (Council Meetings) Local Law 2016, nobody shall use any visual or vocal recording device or instrument to record the proceedings of the Audit, Risk and Improvement Committee without the written permission of the Presiding Member.*

*I wish to draw attention to the Disclaimer Notice contained within the agenda document and advise members of the public that any decisions made at the meeting today can be revoked in accordance with Regulation 10 of the Local Government (Administration) Regulations 1996. Therefore, members of the public should not rely on any decisions until formal notification in writing from the Shire has been received.*

*Any plans or documents in agendas and minutes may be subject to copyright. The express permission of the copyright owner must be obtained before copying any copyright material.”*

1.3 Attendance via Electronic Means

*Nil*

1.4 Standing Orders

*Nil*

1.5 Announcement of Visitors

*Nil*

1.6 Declarations of Proximity Interest

*Nil*

## 1.7 Declaration of Financial Interests

*Nil*

## 1.8 Disclosure of Interests that May Affect Impartiality

*Nil*

**2 ATTENDANCE**

## 2.1 Members

*Presiding Member Shona Zulsdorf, Presiding Member; Deputy Presiding Member Sonia McKeiver; Cr Chris Gibbs (Arrived at 3:08 pm); Cr Denese Smythe; Cr Kevin Trent*

## 2.2 Staff

*Alina Behan, Temporary Chief Executive Officer; Anneke Birleson, Acting Executive Manager Corporate & Community Services; Thomas Bruins, Executive Manager Infrastructure & Development Services; Denise Gobbart, Manager Finance; Emma Hannington, Council Support Officer*

## 2.3 Apologies

*Nil*

## 2.4 Leave of Absence Previously Approved

*Nil*

## 2.5 Number of People in the Gallery at Commencement of Meeting

*There were 0 people in the Gallery at the commencement of the meeting.*

**3 QUESTIONS FROM PREVIOUS MEETINGS**

*Nil*

**4 PUBLIC QUESTION TIME**

Public Question Time is conducted in accordance with the Act and Regulations. In addition to this the Shire's *Local Government (Council Meetings) Local Law 2016* states:

**6.7 Other procedures for question time for the public**

- (1) A member of the public who wishes to ask a question during question time must identify themselves and register with a Council Officer immediately prior to the meeting.
- (2) A question may be taken on notice by the Council for later response.
- (3) When a question is taken on notice the CEO is to ensure that:
  - (a) a response is given to the member of the public in writing; and
  - (b) a summary of the response is included in the agenda of the next meeting of the Council.
- (4) Where a question relating to a matter in which a relevant person has an interest is directed to the relevant person, the relevant person is to:

- (a) declare that he or she has an interest in the matter; and
  - (b) allow another person to respond to the question.
- (5) Each member of the public with a question is entitled to ask up to 2 questions before other members of the public will be invited to ask their questions.
- (6) Where a member of the public provides written questions then the Presiding Member may elect for the questions to be responded to as normal business correspondence.
- (7) The Presiding Member may decide that a public question shall not be responded to where:
- (a) the same or similar question was asked at a previous meeting, a response was provided and the member of the public is directed to the minutes of the meeting at which the response was provided;
  - (b) the member of the public uses public question time to make a statement, provided that the Presiding Member has taken all reasonable steps to assist the member of the public to phrase the statement as a question; or
  - (c) the member of the public asks a question that is offensive or defamatory in nature, provided that the Presiding Member has taken all reasonable steps to assist the member of the public to phrase the question in a manner that is not offensive or defamatory.
- (8) A member of the public shall have 2 minutes to submit a question.
- (9) The Council, by resolution, may agree to extend public question time.
- (10) Where any questions remain unasked at the end of public question time they may be submitted to the CEO who will reply in writing and include the questions and answers in the agenda for the next ordinary Council meeting.
- (11) Where an answer to a question is given at a meeting, a summary of the question and the answer is to be included in the minutes.

*Public Question Time commenced at 3.06 pm.*

#### 4.1 Written Questions – Current Agenda

*Nil*

#### 4.2 Public Question Time

*Nil*

*As there were no questions asked, Public Question Time concluded at 3.06 pm.*

### 5 APPLICATIONS FOR LEAVE OF ABSENCE

*Nil*

### 6 PRESENTATIONS

*Nil*

### 7 CONFIRMATION OF MINUTES OF PREVIOUS MEETINGS

#### **COMMITTEE RECOMMENDATION**

**Moved: Cr Denese Smythe**

**Seconded: Cr Kevin Trent**

**That the minutes of the Audit, Risk and Improvement Committee Meeting held on 10 March 2026 be confirmed as a correct record of proceedings.**

<b><u>In Favour:</u></b>	<b>Crs Shona Zulsdorf, Sonia McKeiver, Denese Smythe and Kevin Trent</b>
<b><u>Against:</u></b>	<b>Nil</b>
	<b><i>CARRIED 4/0</i></b>

**8 ANNOUNCEMENTS BY PRESIDING MEMBER WITHOUT DISCUSSION**

*Nil*

## 9 OFFICER'S REPORTS

### 9.1 BUSINESS CONTINUITY PLAN

<b>File Number:</b>	<b>4.9680</b>
<b>Author:</b>	<b>Kylie Williams, Manager Governance</b>
<b>Authoriser:</b>	<b>Alina Behan, Chief Executive Officer</b>
<b>Previously before Council:</b>	<b>22 June 2021 SY055-06/21</b>
<b>Appendices:</b>	<b>1. Business Continuity Plan 2. Business Continuity Plan Procedures</b>

#### NATURE OF COUNCIL'S ROLE IN THE MATTER

Executive

#### PURPOSE OF REPORT

The purpose of the report is to present the Business Continuity Plan to the Audit, Risk and Improvement Committee (ARIC) and Council for consideration.

#### BACKGROUND

In 2017 a review of the Risk Management, Legislative Compliance and Internal Controls was undertaken by Moore Stephens in accordance with Regulation 17 of the *Local Government (Audit) Regulations 1996*. Moore Stephens recommended that a Business Continuity Plan (BCP) was developed to facilitate organised decision making in the event of a major incident that might otherwise lead to chaos.

In 2020, in response to the threat of operational disruption from COVID-19, Officers prepared a BCP specific to the COVID pandemic. At its March 2020 Special Council Meeting held on Twenty-four (24), Council resolved (Resolution 010320) that the CEO commence preparing an organisational recovery plan, to address business continuity as a whole.

In October 2020, Officers employed Marsh Pty Ltd, a parent company of LGIS, to assist in the development of an overarching BCP. The BCP provides guidance to senior officers to implement a coordinated response to any event which could threaten the operational continuity of the Shire of York.

In 2021, the revised BCP developed with assistance from Marsh Pty Ltd was presented to the ARIC Meeting held on 1 June 2021. Following recommendations from the Committee, Council adopted the BCP and BCP Procedures at its June 2021 Ordinary Council Meeting (Resolution 030621).

In 2025, a review of the existing BCP was conducted by the Temporary Manger Governance and Executive Leadership Team.

#### COMMENTS AND DETAILS

The BCP document contains a series of checklists and contact details maintained in readiness for a crisis, disaster, emergency, accident or any other event that could result in, or be anticipated to result in, a disruption to services. While every incident will be unique the BCP is able to be tailored to respond to each situation. The BCP is supported by the Business Continuity Management Procedures presented in Appendix 2.

The BCP adopted by Council in June 2021 (Resolution 030621), has been reviewed by Temporary Manager Governance and Executive Leadership Team for relevancy and updated to reflect the current names and positions of staff. The updated BCP is presented in Appendix 1. The BCP should

be reviewed annually and whenever structural, technological or procedural considerations indicate. The next BCP review will be due in June 2027.

## OPTIONS

ARIC has the following options:

**Option 1:** ARIC could choose to recommend that Council adopts the updated Business Continuity Plan and note the Business Continuity Management Procedures that provide support to the Plan.

**Option 2:** ARIC could choose to not recommend adoption of the updated Business Continuity Plan and request that further information be provided.

Option 1 is the recommended option. Option 2 will reduce the Shire's ability to respond in the event of an incident leading to service disruption.

## IMPLICATIONS TO CONSIDER

### Consultative

Executive Leadership Group

Corporate and Community Services Staff

Infrastructure and Development Services Staff

### Strategic

Nil

### Policy Related

G19 Risk Assessment and Management

### Financial

There are no financial implications until an event occurs.

### Legal and Statutory

Regulation 17 of the *Local Government (Audit) Regulations 1996* is applicable and states:

**“17. CEO to review certain systems and procedures**

- (1) *The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to the following matters —*
  - (a) *financial management; and*
  - (b) *legislative compliance; and*
  - (c) *risk management.*
- (2) *Under subregulation (1), the CEO may review any or all of the matters referred to in subregulation (1)(a) to (c) at any time but must review each of those matters not less than once in every 4 financial years.*
- (3) *The CEO must report to the audit, risk and improvement committee the results of each review carried out under subregulation (1).”*

### Risk Related

The BCP mitigates the Shire for risks associated with staffing, service interruption, compliance, reputation, finances and project delivery.

**Workforce**

There are no financial implications until an event occurs.

**VOTING REQUIREMENTS**

**Absolute Majority: Yes**

**COMMITTEE RECOMMENDATION**

**Moved: Cr Denese Smythe                      Seconded: Cr Kevin Trent**

**That, with regard to the Business Continuity Plan, the Audit, Risk and Improvement Committee recommend to Council that it:**

- 1. Resolves to adopt the Business Continuity Plan, as presented in Appendix 1.**
- 2. Notes the Business Continuity Management Procedures, as presented in Appendix 2, that support the Business Continuity Plan.**
- 3. Authorises the Chief Executive Officer to make any necessary minor typographical and formatting changes prior to publication.**

**In Favour:      Crs Shona Zulsdorf, Sonia McKeiver, Chris Gibbs, Denese Smythe and Kevin Trent**

**Against:        Nil**

***CARRIED 5/0 BY ABSOLUTE MAJORITY***



# Shire of York Business Continuity Plan

Version 1.1 June 2026

Review date June 2027

## Important information about this Plan for the user

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

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

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

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

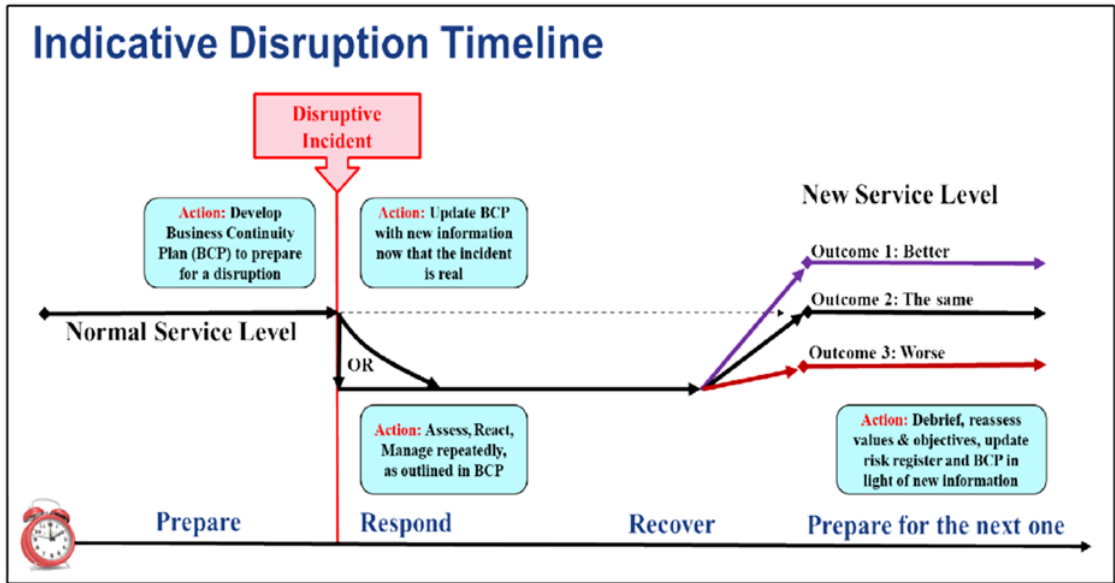
### Plan Activation Decision

Could the incident:	Yes	No
Disrupt critical activities for more than one day or affect multiple sites?		
Prevent the use of our Admin Building, Depot or IT systems, or disrupt our key supplies for more than 1 day?		
<b>If YES to either of the above, this plan is to be activated.</b>		

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

- 1. Before all else, establish the safety and wellbeing of staff, visitors and the community.**
- 2. Provide regular, concise and meaningful communications internally and externally.**
- 3. Strategically manage the incident through strong leadership.**
- 4. Work together as a team demonstrating the Shire's principles and values to swiftly return operations to normality.**
- 5. Provide the Shire's community, customers and stakeholders with essential services.**
- 6. Provide Shire of York staff with a safe working environment to support service delivery in a productive manner.**
- 7. Minimise the impact on the Shire's operations and public image.**
- 8. Provide assurance to the community that the Shire's operations and service to residents remain strong and viable.**
- 9. Ensure that the recovery efforts have the necessary resources and support.**
- 10. Set critical milestones and time frames for recovery. Plan into the future.**
- 11. Ensure all actions are documented for investigators.**

\*Incident Leader and other Checklists begin after the Table of Contents



## Table of Contents

Document Control .....	5
Checklists: .....	6
1. Emergency Response .....	6
2. Immediately After Emergency: .....	6
3. Incident Leader Checklist .....	8
4. Assess .....	12
4A. Employee’s support & wellbeing requirements .....	13
4B. Time-Critical business activities according to priority .....	14
4B. Time-Critical business activities according to Business Unit .....	16
4C. Other Considerations .....	18
4D. Upcoming Activities and Events .....	19
4E. Key Contacts .....	20
5. React .....	22
Scenario-Specific Checklists .....	22
6. Manage .....	29
7. Recover .....	30
Appendix A – Communications Guidelines .....	31
Appendix B - Pandemic Response Guide .....	35

## Document Control

Document Record	
Document name	Shire of York Business Continuity Plan
Document number	N18659

Review and Approval	
Prepared by	Michael Sparks, Marsh Advisory
Maintained by	Kylie Williams – Temporary Manager Governance
Version date	December 2025
Approved by	Council
Frequency of review	Annual

Review and Approval				
Version	Date	Author	Description of Change	Approved By
1.1	Dec 2025	K. Williams	<ul style="list-style-type: none"> <li>Update Shire staff position titles and contact information.</li> <li>Update Chubb Incident Response Team contact information.</li> <li>Update 'Business Unit' titles in section '4B'.</li> <li>Update 'Key Contacts' government departments and contact information.</li> </ul>	

**Hard and soft copies of this plan are located:**

- CEO's home/vehicle.
- Depot
- Admin Office

## Checklists:

### 1. Emergency Response

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

### 2. Immediately After Emergency:

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

Incident Leadership Team and spokesperson	Date & Time contacted	Deputy
CEO	Date & Time	Appointed by the Leadership Team in the absence of the CEO
EM Corporate & Community	Date & Time	Manager Governance & People Finance Manager
EM Infrastructure & Development	Date & Time	Manager Development Services Manager Projects & Assets
Manager Finance	Date & Time	Senior Finance Officer
Spokesperson for non-operational communications: Shire President	Date & Time	Deputy Shire President
Manager Governance & People	Date & Time	Human Resources and Organisational Development Officer Governance Officer

**\*If a Team Member cannot be reached, consider calling their home number or sending someone to notify them**

### Evidence

Log details of all Witnesses, Photographic and CCTV evidence

## Support Specialists

Mobile	Support Specialist Title	Time
0418 924 818	On Call/After Hours Staff Contact	Date & Time
0417 181 349	Ranger	Date & Time
0427 057 719	Community Emergency Services Manager	Date & Time
0437 986 171	Environmental Health Officer	Date & Time
0467 083 966	Media and Engagement Officer	Date & Time
0458 972 036	Projects & Assets Manager	Date & Time
0407 919 091	Manager of Depot Operations	Date & Time
0499 938 896	Town Maintenance Leading Hand	Date & Time
0458 972 036	Graduate Engineer	Date & Time
0400 516 694	Manager of Governance and People	Date & Time
9641 0527	Governance & IT Officer	Date & Time
1300 664 136	External IT Service	Date & Time
9641 0523	Human Resources & Organisational Development Officer	Date & Time
9641 0501	Records Officer	Date & Time
0499 874 917	Manager Tourism & Economic Development	Date & Time
0473 819 801	Museum Curator	Date & Time
0409 906 302	Community & Place Manager	Date & Time
0456 383 486	Pool Manager	Date & Time
9641 1318	Avon Waste	Date & Time

\*PN (Personal Number)

### 3. Incident Leader Checklist

**Remember to log all activities for investigators**

Incident Leader Checklist		
Incident Leader - Consider the following actions important:		
<p>Convene the Incident Leadership Team to review the situation at the muster point (if applicable), then moving to an <i>'Incident Control Centre'</i> venue in the following order:</p> <ol style="list-style-type: none"> <li>1. <b>Community Resource Centre (CRC) *If inaccessible;</b></li> <li>2. <b>Another office in the Admin Building (to be determined)</b></li> <li>3. <b>MS Teams / Zoom, etc</b></li> </ol> <p>Arrange access and teleconferencing facilities at <i>Incident Control Centre</i>.                      Nominate a scribe.                      Determine Leadership Team roles and responsibilities.</p>	Incident Leadership Team Leader	Date & Time
<p>Start recording an assessment of the situation:</p> <p><b>This is what we know (&amp; who is impacted?)</b> .....</p> <p>.....</p> <p><b>This is what we don't know</b>.....</p> <p><b>This is what we need you to do</b>.....</p> <p><b>This is what we're going to do</b>.....</p> <p>A more detailed assessment checklist can be found on the pages below.</p>	Delegated to:	Date & Time
<p>What is your desired realistic outcome? Determine objectives:</p> <p>Objective 1).....</p> <p>Objective 2).....</p>	Incident Leadership Team Leader	Time
<p>Secure involvement of staff from support areas with expertise relevant to the incident (HR/I.T./Works, etc.) (Support Specialists contact list above).</p>	Incident Leadership Team Leader	Date & Time
<p>If moving staff to a new work facility ***Set up a minimum of three workstations and a printer for completion of time-sensitive activities such as Payroll, Communications and Customer Services. (<a href="#">See: Time-sensitive activity list</a>).</p>	Delegated to:	Date & Time
<p>Determine employee support &amp; wellbeing requirements (<a href="#">See section 4 for a checklist</a>).</p>	Delegated to:	Date & Time
<p>Contact all relevant Stakeholders who need to be informed about the incident or will be affected by the incident, including local businesses, schools &amp; community leaders where appropriate (<a href="#">See: Key Contacts checklist</a>)</p>	Delegated to:	Date & Time

<b>Incident Leader - Consider the following actions important:</b>		
Consider nominating a trusted administrator to assist you to work through the checklists and act in an advisory capacity (as a right-hand person)	Delegated to:	Date & Time
Obtain details of any witnesses, photographic or CCTV evidence	Delegated to:	Date & Time
Arrange Stakeholder and staff communications. (Email, Text messaging, MS Teams, Zoom, WhatsApp, Social Media, White Board, Bulletin board) For templates: <a href="#">Appendix A – Communications Guidelines</a>	Delegated to:	Date & Time
Contact any relevant contractors to confirm if they have been affected by the incident ( <a href="#">See: Key Contacts checklist</a> )	Delegated to:	Date & Time
Arrange legal or expert advice if required	Delegated to:	Date & Time
<p><b>Determine Management and Staff roles and responsibilities before sending anyone home (if applicable):</b></p> <p><b>Make sure:</b> If you're sending staff home, that they are actually capable of getting home and not (for example) in shock or ill and unable to drive. Ask them if a family member or friend can fetch them, or arrange an ambulance or taxi. That they are able to contact their families if they need or want to.</p> <p><b>Make sure they understand:</b></p> <ol style="list-style-type: none"> <li>1. Where they should go</li> <li>2. What they should do and how they should do it</li> <li>3. The options available to them</li> <li>4. Reporting arrangements</li> <li>5. That their jobs are safe, if applicable, or the options available to them</li> <li>6. When they should come back to work</li> <li>7. When the next communication can be expected and how it will be communicated.</li> </ol> <p>Remind them about the Shire's <b>Social Media policy</b> (not to talk to the Press, or post anything on Facebook, or alert Friends). If an employee is approached for a comment, they should refer the media body to you as the Incident Leader.</p> <p>Contact and instruct staff not affected by the incident, currently off site, on leave or located elsewhere.</p> <p>Consider Union involvement.</p> <p>A main internal point of contact should be nominated and provided to all staff should they need to communicate. This should be a different person to that making the staff contacts.</p>	Delegated to:	Date & Time

<b>Incident Leader - Consider the following actions important:</b>		
Depending on the nature of the incident, <b>consider:</b> <ul style="list-style-type: none"> <li>○ Requesting assistance from contractors or stakeholders</li> <li>○ Staffing requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>○ Supply requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>○ Other resources or equipment required for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>○ Clearing backlogs</li> <li>○ Leadership and staff rotation / rostering</li> </ul>	Delegated to:	Date & Time
Notify neighbours	Delegated to:	Date & Time
Notify insurer and seek advice	Delegated to:	Date & Time
Contact local business, school & community leaders where appropriate	Delegated to:	Date & Time
Remind staff to photograph all evidence prior to initiating urgent repairs (for insurance purposes)	Delegated to:	Date & Time
Ensure emergency funds are available if required	Delegated to:	Date & Time
Arrange for phones to be diverted and set up a temporary reception area.	Delegated to:	Date & Time
Agree future location of your Incident Control Centre and future meeting times for convening the Incident Leadership Team.	Delegated to:	Date & Time
<b>Assess and Prioritise:</b> A. <a href="#">Employee’s support &amp; wellbeing requirements</a> B. <a href="#">Time-Critical business functions</a> C. <a href="#">Other Considerations</a> D. <a href="#">All upcoming activities or events</a> E. <a href="#">Key contacts / Organisations / Contractors to be contacted</a>  *After assessing and prioritising, focus your resources where they’re needed most	See ‘Assess’ Below	
See ‘Scenario-Specific’ Checklists on following pages for more specific information relating to: <ul style="list-style-type: none"> <li>• <a href="#">Loss of People</a></li> <li>• <a href="#">Loss of (or access to) buildings / infrastructure / equipment</a></li> <li>• <a href="#">Loss of I.T., Data or Communications</a></li> <li>• <a href="#">Loss of key Suppliers</a></li> </ul>	See: ‘React’ Below	
<b>End of Incident Leader Checklist</b>		

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**Team checklists begin on the following page**

## 4. Assess

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

**Assess and Prioritise:**

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

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

#### 4A. Employee's support & wellbeing requirements

Determine employee's support & wellbeing requirements:	Delegated to:	Complete
Set up incoming and outgoing contact arrangements for staff	Delegated to:	Time
Monitor employee's medical & stress factors. Consider support options for staff who are ill, are fearful or anxious about the risks, or fail to show up to work due to safety concerns, caring for sick family members or due to travel restrictions. Identify space to segregate/isolate teams or individuals if necessary. Be mindful of any potential bullying or harassment of any particular demographic. <a href="#">See checklist: 'Loss of People'</a> for additional information.	HR	Time
Engage external employee assistance program (EAP) Refer <a href="#">Key Contacts</a>	HR	Time
Consider employee's family responsibilities (e.g. children). Allow them to contact their family if they want to or need to.	HR	Time
If required, assist employees who may have increased medical requirements such as; those who may be pregnant, recently undergone an operation, disabled or frail.	HR	Time
Consider flexible working arrangements such as shifts, additional breaks or fewer hours per day or week.	HR	Time
Set up a roster system and / or additional resources to manage workload & fatigue	HR	Time
Contact family or next of kin only with assistance from Employee Assistance Program or Police	HR	Time
Ensure regular wellness checks on staff working from home		
Organise refreshments, catering and toilet facilities	HR	Time
Organise suitable transport arrangements for employees if required	HR	Time
Organise temporary accommodation if required	HR	Time
<b>Ensure regular updates to staff and allocate responsibilities for updates</b> (Email, Text messaging, Zoom, WhatsApp, Social Media, White Board, Bulletin board, Other)	HR	Time
During recovery and returning to work, consider that staff may need time to heal or adjust to any changes	HR	Time
Arrange WHS assessments for any changes in working arrangements or redeployment	HR	Time



### 4B. Time-Critical business activities according to priority

Priority	Critical Activity	Business Unit	Minimum Staff	Work remotely	Guidelines
1	Communications	Office of the CEO	3	Yes	Internal and external communication updates to staff, elected members, stakeholders and community, media liaison & official media releases, website, social media, etc.
1	Customer service	Office of the CEO	2 (rotating)	Yes	Redirect main office numbers, manage customer appointments, support the community.
1	Contract management	Executive Leadership Team	1	Yes	Contractors includes any external business engaged to complete works for the Shire. Includes construction projects.
1	Accident investigation and incident reporting	Office of the CEO	1	Yes	Affected party to complete incident reporting forms, safety representative to be nominated for investigation.
1	Urgent Environmental Health assessments and approvals	Development Services	1	No	Respond and assess urgent requests such as asbestos, food poisoning, contamination, pests, diseases, applications, etc.
1	Reactive facilities maintenance	Projects & Assets	2	No	Urgent facility repairs, reactive maintenance to be prioritised (make safe). Includes cleaning services.
1	Information technology	ICT	1	Yes	Providers are Focus Networks & Vocus. Services, operating systems, mainframe, core business applications, security, desktop and mobile devices, hardware and software, etc. Important systems include Synergy, MS Office, InfoCouncil.
1	Reactive parks and reserves requests	Depot Operations	2	No	Urgent park and reserve repairs, reactive maintenance to be prioritised (make safe).
1	Reactive road and drainage requests	Depot Operations	2	No	Urgent road and drainage repairs, reactive maintenance to be prioritised (make safe). Approve, manage or supply traffic management.
1	Payroll	Finance	2	Yes	1 Payroll coordinator, payment authorisation.
1	Ranger	Development Services	1	No	Urgent Ranger related requests such as Local Law enforcement, animal control, Emergency Management, Police support, bushfire control etc.
1	Engineering assessments	Projects & Assets	1	No	Undertake site inspections of Shire assets and provide technical assessment of damaged assets for remediation.
1	Waste collection services	Development Services	1	No	Manage waste contractor for Waste Transfer Station. Household waste to be prioritised for collection.
1	Bushfire response	Development Services and Bushfire Brigade Volunteers	2	No	Manage and respond to request for fire fighting assistance. Applicable where Shire is PCBU, (fire is not DFES controlled). Bushfire brigade responses must be compliant with WHS legislation.



Priority	Critical Activity	Business Unit	Minimum Staff	Work remotely	Guidelines
2	Accounts Payable, Accounts Receivable, Insurance, Investments, Rates	Finance	3	Yes	1 x Accounts Payable, payment authorisation x 2. Liaise with insurers for inquiries and claims.
2	Cemetery and interment	Depot Operations	2	No	Dig grave for burials.
2	Cemetery and interment	Office of the CEO	2	No	Burials, burial register & liaison with Funeral Directors.
2	Funding submissions	Office of the CEO	1	Yes	Grants.
2	Record keeping, registration & distribution of mail, FOI & retrieval and distribution of archives	Office of the CEO	2	No	If these facilities are unavailable, outsource to Australia Post.
2	Stock Management	Depot Operations	1	Yes	Order and manage logistics of key stock supply such as petrol, cleaning supplies etc.
2	Special Council meetings	Office of the CEO	1	Yes	Governance & Council – includes statutory decisions, compliance, LG Act, Local Laws, authorisations, etc.
3	Building approvals (including archive plan searches, customer service & lodging of applications)	Development Services	1	Yes	Work requiring site inspections. Monitor legislative requirements.
3	Development Approvals (Planning - including building, demolition & occupancy permits)	Development Services	1	Yes	Work requiring site inspections. Monitor legislative requirements.

### 4B. Time-Critical business activities according to Business Unit

Priority	Critical Activity	Business Unit	Minimum Staff	Work remotely	Comments
1	Accident investigation and incident reporting	Office of the CEO	1	Yes	Require incident reporting forms.
1	Communications		3	Yes	Internal and external communication updates to staff, elected members, stakeholders and community, media liaison & official media releases, website, social media, etc) See also: 'Key Contact List'.
1	Customer Service		2 (rotating)	Yes	Redirect main office numbers, set up new customer face-to-face at CRC , post messages on Social Media, etc.
2	Funding submissions		1	Yes	Grants.
2	Special Council meetings		1	Yes	Governance & Council – includes statutory decisions, compliance, LG Act, Local Laws, authorisations, etc.
2	Record keeping, registration & distribution of mail, FOI & retrieval and distribution of archives		2	No	If these facilities are unavailable, outsource to Australia Post.
2	Cemetery and interment		2	No	Burials, burial register & liaison with Funeral Directors.
1	Information technology and communications	ICT	1	Yes	Providers are Focus Networks & Vocus. Services, operating systems, mainframe, core business applications, security, desktop and mobile devices, hardware and software, etc. Important systems include Synergy, MS Office, InfoCouncil
1	Urgent Environmental Health assessments and approvals	Development Services	1	No	Respond and assess urgent requests such as asbestos, food poisoning, contamination, pests, diseases, applications, etc.
1	Ranger		1	No	Urgent Ranger related requests such as Local Law enforcement, animal control, Emergency Management, Police support, bushfire control etc.
1	Waste collection services		1	No	Manage waste contractor for Waste Transfer Station. Household waste to be prioritised for collection.
1	Bushfire response	Development Services and Bushfire Brigade Volunteers	2	No	Manage and respond to request for fire fighting assistance. Applicable where Shire is PCBU, (fire is not DFES controlled). Bushfire brigade responses must be compliant with WHS legislation.

Priority	Critical Activity	Business Unit	Minimum Staff	Work remotely	Comments
3	Building approvals (including archive plan searches, customer service & lodging of applications)	<b>Development Services</b>	1	Yes	Work requiring site inspections. Monitor legislative requirements.
3	Development Approvals (Planning - including building, demolition & occupancy permits)		1	Yes	Work requiring site inspections. Monitor legislative requirements.
1	Payroll	<b>Finance</b>	3	Yes	1 x Payroll coordinator, payment authorisation x 2.
2	Accounts Payable, Accounts Receivable, Insurance, Investments, Rates		3	Yes	1 x Accounts Payable, payment authorisation x 2. Liaise with insurers for inquiries and claims.
1	Reactive facilities maintenance	<b>Projects &amp; Assets</b>	2	No	Urgent facility repairs, reactive maintenance to be prioritised (make safe). Includes cleaning services.
1	Reactive parks and reserves requests	<b>Depot Operations</b>	2	No	Urgent park and reserve repairs, reactive maintenance to be prioritised (make safe).
1	Reactive road and drainage requests		2	No	Urgent road and drainage repairs, reactive maintenance to be prioritised (make safe). Approve, manage or supply traffic management.
1	Engineering assessments		1	No	Undertake site inspections of Shire assets and provide technical assessment of damaged assets for remediation.
2	Cemetery and interment		2	No	Dig grave for burials.
2	Stock management		1	Yes	Order and manage logistics of key stock supply such as petrol, cleaning supplies etc.
2	Contract management	<b>Executive Leadership Team</b>	2	Yes	Contractors includes any external business engaged to complete works for the Shire. Includes construction projects. 1 + 1 authorisation Officer. Follow emergency procurement procedures

### 4C. Other Considerations

Other considerations	Priority	Delegated to:
Animal poles for Rangers		
Bulletin board		
Car mobile chargers		
Coffee & tea		
Dog / cat cages		
EFTPOS/cash		
Emergency Management arrangements (available from other LG's and Synergy/Altus)		
Environmental health sample equipment		
Essential records include: <ul style="list-style-type: none"> <li>• Agreements</li> <li>• Certificates of Title</li> <li>• Contracts</li> <li>• Deeds</li> <li>• Leases</li> <li>• MOUs</li> <li>• Vesting Orders</li> </ul>		
Fuel		
Generator		
Manual timesheets and purchase orders		
Mobile phone chargers		
Office safe		
Pens, paper & stationery		
Signage (roads, etc)		
Vehicles		
White board & markers		

#### 4D. Upcoming Activities and Events

Month	Recurring Activity
ALL	Check Compliance Calendar.
ALL	Check Events Calendar.
January	New Year's Day and Australia Day public holidays.
March	Labour Day Public Holiday (WA: first Monday in March).
April	Easter Public Holidays. ANZAC Day Public Holiday.
June	Western Australia Day (formerly Foundation Day) – typically the first Monday in June.
September	King's Birthday Public Holiday (typically the last Monday of September).
November	Melbourne Cup Day (held on the first Tuesday of November).
December	Christmas Day and Boxing Day Public Holidays.

## 4E. Key Contacts

Key Contacts / Organisations / Contractors to be contacted	Contact
Department of Education WA	9264 4111
Department of Fire & Emergency Services (DFES)	000
Department of Health (WA)	9222 4222
Department of Local Government, Industry Regulation and Safety	9222 3333
Department of Transport	13 11 56
Department of Water and Environmental Regulation	6364 7000
Department of Biodiversity, Conservation and Attractions	9219 9000
Employee Assistance Program (EAP)	Contact HR & Org Dev Officer for EAP contact information.
LGIS – Insurance	9483 8888
Main Roads	13 81 38
Police (non-emergency)	13 14 44
Police, Fire, Ambulance	000
Public Transport Authority (PTA)	9326 2000
Shire of Beverley	9646 1200
Shire of Northam	9622 6100
St John Ambulance (non-emergency)	9334 1222
State Library of Western Australia	9427 3111
State Records Office	9427 3600
Synergy	13 13 53 / 13 13 51 (Emergency)
WA Country Health Service (Wheatbelt)	9621 0700
WALGA	9213 2000 / info@walga.asn.au
Water Corporation	13 13 75 (Emergency)
Western Power	13 10 87
WorkSafe: 1800 678 198 (24hrs serious incidents)	1300 307 877
York District High School	9641 3100
York Health Service	9641 0200
Avon Waste	9641 1318

## Contractors

Now that the incident is real, decide which Contractors can assist you:			
Service	Business Unit	Service	Business Unit
Accommodation providers		Glass repairs	
Advertising		I.T. Internet & Telecoms: Focus Networks & Vocus	
After hours phone message		Indoor plants	
After hours phone service		Insurance (LGIS)	
Animal pound		Labour Hire	
Asbestos removal		Landfill	
Australia Post		Lawyer	
Banking		Laundry Services	
Bitumen supply & repair (Asphalt)		Locksmith	
Building security		Mail	
Building Surveyors		Media Outlets - Radio	
Bushcare		Media-Local newspaper	
Cash collection		Milk delivery	
Cat pound		Newspaper Delivery	
Catering		Pest Control	
Cleaners		Plumbing	
Couriers		Portable lavatory	
Dog pound		Power lines	
Drainage materials		Respite Centre	
Drainage repairs		Road resurfacing	
Earthmoving		Security	
Electrical engineers		Stationery	
Electrician		Street sweeping	
Employee Assistance Program		Structural engineers	
Engineers		Supermarket	
Equipment Hire		Traffic Management	
Fish		Trees	
Footpaths		Vehicle Towing	
Fuel		Vet	
Geotechnical engineers		Waste - Avon	
Geothermal			

## 5. React

### Scenario-Specific Checklists

a) Loss of (or access to) buildings / infrastructure / equipment

Tasks: Loss of (or access to) buildings / infrastructure / equipment		Complete
<p>If relocation is necessary; consider:</p> <p><b>Alternative Locations:</b></p> <ul style="list-style-type: none"> <li>▪ CRC Depot</li> <li>▪ Town Hall</li> <li>▪ Work from home</li> <li>▪ Civic Centres in other Local Governments</li> <li>▪ Portable site offices</li> </ul> <p>Set up a minimum of three workstations and a printer in the new facility.</p> <p><b>Storage Locations: Physical stock or equipment;</b> Council Reserves, vacant land, Depot, Contractors, Local businesses</p>		Date & Time
<p>➤ <b>Notify current users of the alternate location of your intention to occupy the building</b></p>		
<p>Depending on the nature of the incident, <b>consider:</b></p> <ul style="list-style-type: none"> <li>○ Requesting assistance from contractors or stakeholders</li> <li>○ Staffing requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>○ Supply requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>○ Other resources or equipment required for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>○ Clearing backlogs</li> <li>○ Leadership and staff rotation / rostering</li> </ul>		Date & Time
<p>Consider how workstations &amp; communications for staff <b>relocating to other sites</b> will be established and allocated</p>	Delegated to:	Date & Time
<p>Staff travel arrangements to other sites</p>	Delegated to:	Date & Time
<p>Consider how staff working in shifts will be established and allocated (e.g. work two shifts of 5 hours rather than one shift of 8 hours)</p>	Delegated to:	Date & Time
<p>How workstations &amp; communications for staff <b>working from home</b> will be organised Note: staff working from home should be housed at the office 2 days per week wherever possible</p>	Delegated to:	Date & Time
<p>Consider other support areas to assist with relocation</p>	Delegated to:	Date & Time

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

**b) Loss of People**

Tasks: Loss of People	Delegated to:	Time
Determine: The number of staff away, affected service areas & expected return dates. Record and track staff absences.	Delegated to:	Date & Time
Ensure the safety and wellbeing of remaining staff	Delegated to:	Date & Time
Identify Time-Critical deliverables due today and for the next 5 days	Delegated to:	Date & Time
Determine the minimum number of staff required to continue operations and identify critical servicing and staffing gaps. Identify staff to be re-deployed from other areas.	Delegated to:	Date & Time
Consider how staff working in shifts will be established and allocated (e.g. work two shifts of 5 hours rather than one shift of 8 hours)	Delegated to:	Date & Time
Ensure appropriate inductions, training and supervision to be in place for any replacement staff	Delegated to:	Date & Time
Ensure risk assessments in regard to any potential safety issues	Delegated to:	Date & Time
Discuss changes with personnel and relevant Union if required and engage specialist Industrial Relations assistance	Delegated to:	Date & Time
Arrange any required medical assistance	Delegated to:	Date & Time
Cease all non-critical activities where appropriate	Delegated to:	Date & Time
In consultation with HR, notify / escalate to Health Department or Worksafe etc.	Delegated to:	Date & Time
Can temporary competent replacements be arranged from: <ul style="list-style-type: none"> <li>o Other Local Governments</li> <li>o Casuals / increase part-time hours</li> <li>o Volunteers / from the Community / prisoners</li> <li>o Existing contractors</li> <li>o Recruitment agencies for Labour Hire (e.g. LOGO, WALGA)</li> <li>o State Government Agencies</li> <li>o Retired or former employees</li> </ul>	Delegated to:	Date & Time
Depending on the nature of the incident, <b>consider:</b> <ul style="list-style-type: none"> <li>o Requesting assistance from contractors or stakeholders</li> <li>o Staffing requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>o Supply requirements for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>o Other resources or equipment required for the next 5 days, 10 days, 1 month, 3 months, etc.</li> <li>o Clearing backlogs</li> <li>o Leadership and staff rotation / rostering</li> </ul>	Delegated to:	Date & Time
Create a Communication Plan for Councillors, Media, Regulators, other Stakeholders and Staff as required. (Template: <a href="#">Appendix A – Communications Guidelines</a> )	Delegated to:	Date & Time

Tasks: Loss of People	Delegated to:	Time
Notify Stakeholders of amended working arrangements	Delegated to:	Date & Time
Organise any required Employee Assistance including counselling to assist with personnel returning to work.	Delegated to:	Date & Time
Develop and distribute return-to-work guidance to staff	Delegated to:	Date & Time
Conduct regular Fitness for Work Assessments	Delegated to:	Date & Time
Establish a method to provide financial advice to staff who have been financially impacted	Delegated to:	Date & Time
<b>Other:</b>	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time
	Delegated to:	Date & Time

**d) Loss of IT or Communications**

Tasks: Loss of IT or Communications	Delegated to:	Complete
<p><b>Contact IT Contractor / Support / or LGIS Cyber Insurer Incident Response Hotline: 1800 027 428 **See response process below</b></p> <p>Determine potential cause/s                      Clarify the extent of the outage                      Clarify the extent of any data loss                      Determine restoration target timeframes</p>	Delegated to:	Date & Time
Determine whether there is a need for any other staff to assist IT	Delegated to:	Date & Time
<p>Detail a strategy and resources for recovery, including assistance from external contractors, cyber insurer and IT specialists.                      Communications and employee contact details are on Synergy</p>	Delegated to:	Date & Time
<p><b>Consider:</b></p> <p>Deliverables due today and for the next five days, 10 days, 1 month, etc.                      Consider how workstations &amp; communications for staff relocating to other sites or working from home will be established and allocated                      Staff travel arrangements to other sites                      Manual procedures or workarounds                      Other productive activities not requiring IT or communications infrastructure</p>	Delegated to:	Date & Time
<p>Detail a strategy and resources for recovery, including assistance from neighbouring local governments, responders, external contractors, suppliers, insurers and specialists:</p>	Delegated to:	Date & Time
<b>Invoke the IT Disaster Recovery Plan</b>	Delegated to:	Date & Time
<p>If there has been a partial loss of IT or Communications, consider how staff working in shifts will be established and allocated (e.g. work two shifts of 5 hours rather than one shift of 8 hours)</p>	Delegated to:	Date & Time
Notify Stakeholders of amended working arrangements	Delegated to:	Date & Time
<p>Create a Communication Plan for Councillors, Media, Regulators, other Stakeholders and Staff as required. (<a href="#">Template: Appendix A – Communications Guidelines</a>)</p>	Delegated to:	Date & Time
<p>Ensure ongoing interaction with appropriate IT Incident Management for regular updates and feedback</p>	Delegated to:	Date & Time
<p>Ensure protocols for regular updates and feedback</p>	Delegated to:	Date & Time
<b>Consider support &amp; wellbeing requirements of staff</b>	Delegated to:	Date & Time
<b>Other:</b>	Delegated to:	Date & Time

Tasks: Loss of IT or Communications			Delegated to:	Complete												
<p><b>**LGIS Cyber Incident Response Process</b></p> <p><b>Phone Chubb Cyber Alert Hotline : 1800 027 428</b></p> <p><u>What to say when you call the hotline:</u>                      "I'm calling from Shire of York and my policy is with LGIS. I would like to be connected with a cyber incident response manager at Atmos"</p> <p>Chubb Cyber Alert Website: <a href="http://www.chubbcyberalert.com">www.chubbcyberalert.com</a></p> <p><b>LGIS Contact Details:</b></p> <table border="1"> <thead> <tr> <th>Employee</th> <th>Position</th> <th>Contact Email</th> </tr> </thead> <tbody> <tr> <td>Taylor Dearnley</td> <td>ClaimsConsultant</td> <td><a href="mailto:taylor.dearnley@lgiswa.com.au">taylor.dearnley@lgiswa.com.au</a></td> </tr> <tr> <td>Sharon Lawton</td> <td>Senior ClaimsConsultant</td> <td><a href="mailto:sharon.lawton@lgiswa.com.au">sharon.lawton@lgiswa.com.au</a></td> </tr> <tr> <td>Chad Cossom</td> <td>ManagerScheme Claims</td> <td><a href="mailto:chad.cossom@lgiswa.com.au">chad.cossom@lgiswa.com.au</a></td> </tr> </tbody> </table>			Employee	Position	Contact Email	Taylor Dearnley	ClaimsConsultant	<a href="mailto:taylor.dearnley@lgiswa.com.au">taylor.dearnley@lgiswa.com.au</a>	Sharon Lawton	Senior ClaimsConsultant	<a href="mailto:sharon.lawton@lgiswa.com.au">sharon.lawton@lgiswa.com.au</a>	Chad Cossom	ManagerScheme Claims	<a href="mailto:chad.cossom@lgiswa.com.au">chad.cossom@lgiswa.com.au</a>		
Employee	Position	Contact Email														
Taylor Dearnley	ClaimsConsultant	<a href="mailto:taylor.dearnley@lgiswa.com.au">taylor.dearnley@lgiswa.com.au</a>														
Sharon Lawton	Senior ClaimsConsultant	<a href="mailto:sharon.lawton@lgiswa.com.au">sharon.lawton@lgiswa.com.au</a>														
Chad Cossom	ManagerScheme Claims	<a href="mailto:chad.cossom@lgiswa.com.au">chad.cossom@lgiswa.com.au</a>														
			Delegated to:	Date & Time												

e) Loss of Supplier

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

## 6. Manage

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

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

## 7. Recover

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

## Appendix A – Communications Guidelines

### Sample Communications Template

New York Mayor Rudy Giuliani’s format for providing 9/11 disaster information is given as an example of best practice:

- **this is what we know (& this is who is impacted)** \_\_\_\_\_
- **this is what we don’t know** \_\_\_\_\_
- **this is what we are doing** \_\_\_\_\_
- **this is what we want you to do** \_\_\_\_\_

#### Press Release Example

On (insert day and date) at approximately (insert time) the Shire of York experienced a business interruption event (describe event • this is what we know, • this is what we don’t know, etc, as above). See ‘Notification Chart’ below for Likely questions from Stakeholders and ‘Message Mapping’ below for a template.

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

### Communications Team Responsibilities

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

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

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

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

## Appendix B - Pandemic Response Guide

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

A Pandemic event can last from weeks to months and could potentially impact a large percentage of the workforce.

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

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

A Pandemic is declared "ended" when evidence indicates that influenza, worldwide, is transitioning to seasonal patterns of transmission.

Description of infection	Recommended Actions for Australian Businesses
Human infection anticipated in Australia / Minimal human to human transmission in Australia	<ul style="list-style-type: none"> <li>• Consider implementing remote work arrangements, especially for key staff and those who rely on public transport.</li> <li>• Consider suspending all overseas / interstate travel.</li> <li>• Purchase health and safety consumables such as tissues, disinfectant, gloves and facemasks.</li> <li>• Increase cleaning schedules.</li> <li>• Update staff, stakeholder and supplier contact lists.</li> <li>• Create pre-scripted messages to address staff and other stakeholders.</li> <li>• Plan for ways to increase social distancing and face-to-face contact between staff, customers, visitors and vendors, such as:                             <ul style="list-style-type: none"> <li>○ Modifying, postponing, or cancelling meetings, gatherings, training sessions or conferences.</li> <li>○ Encouraging video conferencing, staggered shifts and breaks and working from home.</li> </ul> </li> <li>• Develop protocols for infection control for employees who are exposed to the pandemic, are suspected to be ill, or become ill at work.</li> <li>• Review employee compensation and sick-leave absence Policies.</li> <li>• Provide delegations of authority, orders of succession for key roles and a fast-track procurement process.</li> <li>• Consider cross-training personnel for delivery of essential functions.</li> <li>• Review insurance policies for business interruption or event cancellation terms.</li> <li>• Educate staff that if they are unwell, or a member of their families have contracted the virus, that they should not go to work.</li> <li>• Prepare rosters that have no overlaps and include sufficient time for disinfecting the area before the new shift arrives.</li> <li>• Encourage staff to eat at their desks and stagger breaks to prevent groups meeting in the break rooms.</li> </ul>

Description of infection	Recommended Actions for Australian Businesses
	<ul style="list-style-type: none"> <li>• Provide staff with details of clinics, designated influenza hospitals, infection control guidelines and other relevant information.</li> <li>• Test the Business Continuity Plan to examine:                             <ul style="list-style-type: none"> <li>○ How continuity will be affected in an environment of high absenteeism</li> <li>○ When all but the critical functions would be suspended</li> <li>○ When necessary resources are not available because suppliers are not equally well prepared for a pandemic</li> <li>○ When regions are quarantined and moving personnel is restricted</li> <li>○ When schools are closed</li> <li>○ When social distancing is introduced.</li> <li>○ A process for reopening facilities and resuming business functions</li> </ul> </li> </ul>
Human infection in Australia Human to human transmission localised (one area of the country)	<ul style="list-style-type: none"> <li>• Activate remote work arrangements</li> <li>• Implement social distancing at work</li> <li>• Cancel all non-essential work</li> <li>• Activate rosters that have no overlaps and include sufficient time for disinfecting the area before the new shift arrives</li> <li>• Maximise building ventilation</li> <li>• Require staff to wear surgical masks, introduce cough etiquette and other hygiene measures</li> <li>• Undertake daily temperature checks of staff</li> <li>• Clean all touched surfaces between shifts</li> <li>• Maintain a register of staff who get sick</li> </ul>
Pandemic in Australia: Widespread	<ul style="list-style-type: none"> <li>• Maintain contact with all employees and stakeholders and provide situational updates.</li> </ul>
Pandemic in Australia: Subsided	<ul style="list-style-type: none"> <li>• When a vaccine becomes available, organise for all non-immune staff to be vaccinated as early as practical.</li> <li>• Implement plan for the restoration of operations.</li> <li>• Conduct post-pandemic debrief with response team to capture lessons learned for the future.</li> </ul>



**Shire of York**

**Business Continuity Management**

**Procedures Manual**

**June 2026**

**Document Owner:     Manager Governance and People**

**Version:                 1.1**

**Next Review Due:     June 2027**

## INTRODUCTION

This manual is designed to provide the information and tools required to ensure the Shire of York (the 'Shire') has a robust and effective Business Continuity Plan (BCP).

It has been developed to ensure a standardised, consistent approach to business continuity whilst providing a best practice methodology that fits within the Shire's overarching Risk Management Framework.

This document sets out the:

1. Management principles to be followed should any incident cause or threaten to cause serious impact to the operations of the Shire.
2. Ongoing procedural requirements to ensure the Shire's Business Continuity Plan remains current and effective.

The Business Continuity Plan provides a process that facilitates organised decision making in the event of a major incident that might otherwise be chaotic, to:

- Provide for the welfare of staff, visitors and contractors.
- Provide a flexible response to a variety of emergencies.
- Assist decision making in an uncertain and stressful environment.
- Manage and minimise consequence of incidents to the Shire operations.

**The Business Continuity Plan is the tactical response implement, developed and maintained as a result of this process.**

Business continuity should be considered with every project within the Shire to mitigate the risks associated with a potential failure. Risk is two-fold:

1. The risk of a project not delivering stated benefits; and
2. The impact of a project upon existing business continuity arrangements. The change management process must incorporate an element of business continuity to ensure changes are replicated through to recovery arrangements and requirements.

Business continuity principles assume that all external hazard management agencies have and continue to respond as per normal.

## MANAGEMENT PRINCIPLES

The Shire defines a business continuity event as an incident that could result in:

- The inability to use or access the Admin Building or Depot for more than 1 day.
- The inability to access or use IT systems or applications for more than 1 day.
- Not having enough staff to perform critical activities for more than 1 day.
- A key supplier / contractor being unable to perform core services on behalf of the Shire for more than 1 day.

Business continuity events may result from single or multiple events; be accidental, intentional or an act of nature; occur suddenly or have an extended lead time.

It should be noted that an incident may affect the community as well as Shire operations. In these cases, the Shire's Local Emergency Management Arrangements (LEMA) will work in conjunction with the Shire's Business Continuity Plan.

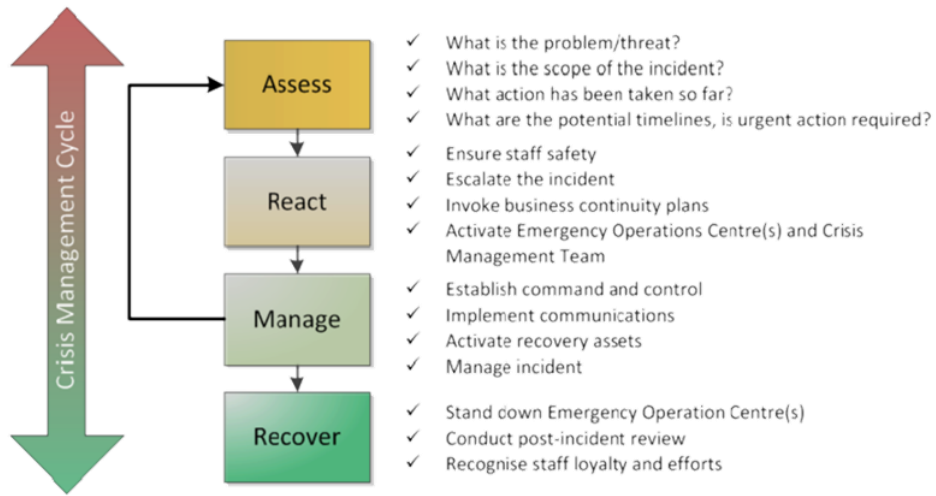
It is also important to note that management response is dictated by the impact the event has or may have on the Shire and not by the event itself. The Shire's Business Continuity Plan extends this principle to respond to the following impacts;

- Loss of (or access to) buildings or infrastructure
- Loss of IT & communication systems, applications or networks (including data)
- Loss of key staff
- Loss of key suppliers

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

1. Before all else, establish the safety and wellbeing of staff, visitors and the community.
2. Provide regular, concise and meaningful communications internally and externally.
3. Strategically manage the incident through strong leadership.
4. Work together as a team demonstrating the Shire's principles and values to swiftly return operations to normality.
5. Provide the Shire's community, customers and stakeholders with essential services.
6. Provide Shire of York staff with a safe working environment to support service delivery in a productive manner.
7. Minimise the impact on the Shire's operations and public image.
8. Provide assurance to the community that the Shire's operations and service to residents remain strong and viable.
9. Ensure that the recovery efforts have the necessary resources and support.
10. Set critical milestones and time frames for recovery. Plan into the future.
11. Ensure all actions are documented for investigators.

Business continuity is a scalable cyclical process, of which there are four generic phases.



**Flexibility is required at all times.**

Within this cycle, it is appropriate to continually re-assess the situation and modify the response, which will result in a different set of reactions, and tasks to manage the incident, leading to the ultimate recovery of Shire operations.

## PROCEDURAL REQUIREMENTS

### Generic Requirements

The following provides a summarised list of generic requirements for the ongoing management of business continuity.

#### Outsourced Partners/Key Supplies

Identify and assess the associated risks and be satisfied that these entities have robust processes and business continuity arrangement in place. Where these entities perform key services for the Shire, ensure that options are in place for the Shire to either resume (internally) or source alternative arrangements within appropriate times.

#### Budgetary Considerations

Fund and provide forecast budgeting for the continual improvement of business resiliency measures and testing of both operational and IT related events.

#### Risk Identification & Reporting

Regularly review the Shire's risk profiles to identify potential threats, determine the impact and likelihood of business continuity events. Once assessed, determine appropriate treatments and implement on a risk versus reward basis.

#### Off-site Copies of Plans

Off-site copies of all plans must be appropriately and securely kept at relevant recovery sites where applicable as well as by a number of responsible staff who have designated responsibilities under the Plan.

#### Human Resources

Develop processes to allow for trauma counselling for colleagues and their families.

#### WorkHealth & Safety

Develop and implement emergency response plans and drills as required under legislation. This includes identifying and training wardens and first aid representatives.

#### Information Technology

Fund and provide forecast budgeting for all IT Infrastructure associated with potential recovery sites, in addition to any other IT Disaster Recovery or IT Connectivity testing as required. Ensure there is a direct understanding between Shire expectations for recovery (timeframes) and the capability of the IT Team or service provider.

#### Finance

Ensure the ability to make payments as requested by Incident Management Team in the case of a business continuity event.

#### Communications

Manage all media during a business continuity event in addition to developing processes to provide internal & external communications in the case of an incident.

- **President** - The Shire's official spokesperson on all non-operational issues in a crisis management situation and plays a key role in developing Shire messages.
- **Chief Executive Officer** - The Shire's official spokesperson on all operational issues in a crisis management situation. In the CEO's absence the Executive acting as CEO must be able to take on the role of official spokesperson.

The Shire is committed to delivering accurate, timely and relevant information to the community, media, councillors, staff, the public and other stakeholders.

## Policy & Program Management

Defining, reviewing and consistently improving business continuity arrangements and how it will be implemented, controlled and validated.

This document forms part of the overarching Risk Management Framework. Review of the business continuity procedures are subject to the review frequency as set out in that Framework. At a minimum it is expected that this frequency would be at least every 2 years.

The business continuity program (including procedures) are owned and managed by the Manager of Governance and People.

## Embedding Business Continuity

The integration of Business Continuity into business as usual activities and organisational culture.

A consultative approach to the business continuity framework review will assist in raising awareness and embedding the appropriate culture. In addition, conducting regular validations involving those with an incident management responsibility will also contribute to increased awareness and an improved management response.

## Analysis

The ongoing review and assessment of the Shire's objectives, functions and environmental constraints against operations.

A Business Impact Analysis (BIA) should be reviewed and endorsed every two years for all work areas as a minimum, alternatively following any material change including but not limited to:

- Structural (hierarchy).
- Operational Objectives.
- Project/change management.
- IT software or infrastructure.

The Manager of Governance and People is also required to consider and analyse any specific threats to Shire operations and ensure that these are reflected in business continuity or threat specific planning.

The Shire-wide Profile section within the BCP effectively records the latest BIA information and will be utilised as such.

## Design

Identification and enablement of appropriate strategies and processes to determine how best to recover from business disruption.

The Shire currently considers the following recovery strategy themes. This list is non-exhaustive and subject to constant review. In all cases resiliency options should be considered as a priority. The following are a reflection of current strategies only and may be used in part or consecutively as required.

### Do Nothing (mothball the activity)

This strategy is to be employed for all activities that are not considered time critical. One of the main objectives of any Incident Management Team is to ensure the resumption of these activities (and managed backlog) as soon as practical. This approach is to allow initial efforts to focus on critical activities only.

### Recovery Sites

Formal Recovery Sites are designed to ensure the swift resumption of critical business functions following an incident which has rendered the original operational site inaccessible or inoperable.

Whilst they provide the benefit of almost immediate recovery in the case of a building related incident, they are expensive and currently considered out of scope.

Other forms of Recovery Sites include "hot desk" arrangements at alternative operational sites. These are more cost effective and provide a dual resource to staff who need to work at other sites for varied reasons.

### Sharing (buddy up)

This strategy has two main options:

1. Increasing the number of people per workstation. This should only be considered for short term disruptions as there may be 'social distancing' issues to contend with. IT requirements may also impact the effectiveness of this type of strategy.
2. Creating shifts over a greater period of the day. This is where workstations or work areas are used over 16 – 24 hours, rather than the standard 8. Human Resource involvement is a necessity for this strategy as there are a number of people management issues to contend with.

### Remote Working

A simple and quick strategy which allows the 'almost' immediate resumption of activities. It is only effective for those staff that are PC work based and it relies on them:

- Having their own PC.
- Taking Laptops home (prior to incident)
- Having available connectivity (at home and work infrastructure capacity).

There are also Work Health and Safety considerations that need to be managed.

### Implementation

#### Maintaining the Business Continuity Plan around current strategies and processes.

The Shire must be covered by an effective, up to date and fit-for-purpose Business Continuity Plan ("Plan").

The BCP is developed, managed and reviewed by the Manager of Governance and People under delegation. Adequate time and resources must be allocated to achieve a functional and valuable BCP. Filling in the blanks is one thing, but it is the input and understanding of the business continuity data and localised strategies that determines how effective the BCP can be.

The BCP should be reviewed annually.

The BCP must also be reviewed whenever structural, technological or procedural considerations indicate. Once reviewed, it must be approved by the Executive Leadership Team and approved copies distributed accordingly.

### Validation

#### Validating, through exercise and formal review that this program meets the key objectives.

An effective fit-for-purpose BCP cannot be considered reliable until it has been exercised and proven as workable, especially since false confidence may be placed in its reliability. Consequently, exercising the BCP assumes considerable importance in establishing the capability of the Shire to effectively recover from a business continuity event in a timely fashion.

Exercising the BCP is an ongoing requirement that provides a mechanism to validate and ensure that it remains up to date. Exercises do not create pass/fail situations; rather they are designed to expose the areas in the BCP which need to be revisited.

The major components of the BCP should be tested annually and revised upon the results of each test.

Exercising the BCP can cause disruption to the business; it requires commitment from the Senior Management Group to ensure sufficient resources are available. As business continuity develops within the Shire, additional test types will be introduced, however at this stage the BCP will be tested via Desktop Scenarios.

Desktop scenario exercises provide a mechanism to validate the BCP, identify any improvements that can be made and provide training to the colleagues who would be involved with the enactment of the BCP in an actual crisis. Among other things, desktop scenario exercises are designed to identify any potential roadblocks and their solutions, so that when the BCP is executed in a real life situation it will work without fail.

The objectives of the exercise are to:

- Ensure staff are aware of their roles and responsibilities
- Act out critical steps to recognise difficulties in the plan
- Demonstrate decision making abilities and knowledge of response operations
- Highlight areas of improvement

*(Cr Gibbs arrived at 3:08 pm)*

## **9.2 DRAFT INTEGRITY FRAMEWORK**

<b>File Number:</b>	<b>4.9680</b>
<b>Author:</b>	<b>Kylie Williams, Manager Governance</b>
<b>Authoriser:</b>	<b>Alina Behan, Chief Executive Officer</b>
<b>Previously before Council:</b>	<b>Nil</b>
<b>Appendices:</b>	<b>1. Draft Integrity Framework</b>

### **NATURE OF COUNCIL'S ROLE IN THE MATTER**

Executive

### **PURPOSE OF REPORT**

The purpose of the report is to present the Draft Integrity Framework to the Audit, Risk and Improvement Committee (ARIC) and Council for consideration.

### **BACKGROUND**

The Public Sector Commission (PSC) promotes and maintains integrity and conduct within the Western Australian government sector, including local governments.

The PSC strongly encourage the development of an Integrity Framework, although it is not mandatory for local government to adopt one. While the PSC plays a significant role in the management and prevention of misconduct and corruption, integrity and ethics is the responsibility of the individual authority.

An Integrity Framework provides a structured approach to managing integrity risks, promoting ethical decision making and strengthening public trust by bringing together the policies, controls, behaviours and governance practices that support accountability, transparency and good governance.

### **COMMENTS AND DETAILS**

The Draft Integrity Framework (Attachment 1) was developed using the PSC's framework resource.

The Integrity Framework is intended to strengthen the Shire's integrity systems by clearly articulating the behaviours, responsibilities and controls that support a culture of integrity. The framework will apply to all employees, volunteers and Council Members.

The Integrity Framework will be regularly monitored, evaluated and updated. ARIC will be provided with updates, when the framework is reviewed and updated.

### **OPTIONS**

ARIC has the following options:

**Option 1:** ARIC could choose to recommend that Council adopt the Integrity Framework.

**Option 2:** ARIC could choose to not recommend adoption of the Integrity Framework.

Option 1 is the recommended option.

**IMPLICATIONS TO CONSIDER****Consultative**

Executive Leadership Team

Public Sector Commission Integrity Framework Resources

**Strategic**

Nil

**Policy Related**

G19 Risk Assessment and Management

**Financial**

There are no direct financial implications associated with the recommendations of this report.

**Legal and Statutory**

Regulation 17 of the *Local Government (Audit) Regulations 1996* is applicable and states:

**“17. CEO to review certain systems and procedures**

- (1) *The CEO is to review the appropriateness and effectiveness of a local government’s systems and procedures in relation to the following matters —*
  - (a) *financial management; and*
  - (b) *legislative compliance; and*
  - (c) *risk management.*
- (2) *Under subregulation (1), the CEO may review any or all of the matters referred to in subregulation (1)(a) to (c) at any time but must review each of those matters not less than once in every 4 financial years.*
- (3) *The CEO must report to the audit, risk and improvement committee the results of each review carried out under subregulation (1).”*

**Risk Related**

The impact of not managing integrity, conduct and corruption effectively is that the appropriate treatments may not be applied causing critical consequences.

**Workforce**

There are no financial implications until an event occurs.

**VOTING REQUIREMENTS**

**Absolute Majority: Yes**

**COMMITTEE RECOMMENDATION**

**Moved: Cr Chris Gibbs**

**Seconded: Cr Denese Smythe**

**That, with regard to the Draft Integrity Framework, the Audit, Risk and Improvement Committee recommend to Council that it:**

- 1. Resolves to adopt the Draft Integrity Framework, as presented in Appendix 1.**
- 2. Authorises the Chief Executive Officer to make any necessary minor typographical and formatting changes prior to publication.**

**In Favour:** Crs Shona Zulsdorf, Sonia McKeiver, Chris Gibbs, Denese Smythe and Kevin Trent

**Against:** Nil

***CARRIED 5/0 BY ABSOLUTE MAJORITY***



# Integrity Framework

June 2026



## Contents

1. CEO Mission Statement .....	3
Organisational Purpose and Values.....	4
2. Plan and Act to Improve Integrity .....	5
2.1 Risk Analysis and Planning for Integrity .....	5
2.2 Roles and Responsibilities .....	5
2.2 Legislation and Regulations.....	7
2.4 Internal Controls, Audit and Governance.....	7
2.5 Audit, Risk and Improvement Committee.....	8
3. Model and Embody a Culture of Integrity.....	8
3.1 Values and Standards .....	8
3.2 Leadership and Management Attitude .....	8
3.3 Organisation Culture .....	9
4. Learn and Develop Integrity Knowledge and Skills .....	9
4.1 Integrity Education and Capacity .....	9
5. Be Accountable for Integrity .....	10
5.1 Response to Integrity Breaches.....	10
5.2 Self-Analysis and Review .....	10
6. Oversight .....	10
Glossary .....	10

## 1. CEO Mission Statement

I am committed to fostering a culture of integrity, accountability and professionalism across the Shire of York. Upholding these principles is fundamental to maintaining the trust and confidence of our community and ensuring the delivery of ethical, transparent and high-quality services.

This Integrity Framework sets out the systems, behaviours and practices that guide how we uphold integrity in our work. It is informed by an understanding of our integrity risks and reinforces that, while specific responsibilities sit with certain roles, integrity is a shared responsibility across the organisation.

All officers are expected to understand and apply this framework, know where to access it, and actively contribute to its ongoing improvement. Reporting suspected integrity breaches is a core responsibility and a critical part of maintaining a strong ethical culture.

I am committed to ensuring this framework is regularly monitored, reviewed and strengthened to support continuous improvement and organisational accountability.

Alina Behan

Temporary CEO  
Shire of York

**Organisational Purpose and Values**

**Purpose**

The Shire of York’s organisational purpose is to provide good governance, leadership and partnership to achieve the strategic direction for the community.

**OUR VALUES**



## **2. Plan and Act to Improve Integrity**

### **2.1 Risk Analysis and Planning for Integrity**

Integrity risks are managed through the Shire's enterprise risk processes, including the Risk Register, Audit Register and internal audit activities. The Audit, Risk and Improvement Committee provides structured oversight of these functions. Fraud detection systems, whistleblower reporting and audit testing form part of the broader integrity risk strategy.

### **2.2 Roles and Responsibilities**

Roles and responsibilities under this framework apply across all levels of the Shire. Specific positions may include Executive, Managers, Governance and operational staff; however, titles are intentionally left blank so the Shire can assign them according to its structure.

<b>Roles</b>	<b>Responsibilities</b>
Council	<ul style="list-style-type: none"> <li>• Adopt and review the Shire's Integrity Framework.</li> <li>• Adopt and review the Code of Conduct for Council Members, Committee Members and Candidates.</li> <li>• Appoint a Complaints Officer to receive and manage complaints made under the Code of Conduct.</li> <li>• Receive reports from the Audit, Risk and Improvement Committee in relation to integrity risks, audit activities and other integrity controls.</li> </ul>
Elected Members	Model leadership and conduct that align with: <ul style="list-style-type: none"> <li>• the Shire's Integrity Framework;</li> <li>• the Code of Conduct for Council Members, Committee Members and Candidates;</li> <li>• The <i>Local Government Act 1995</i>; and the Shire's policies and procedures.</li> </ul>
Chief Executive Officer	<ul style="list-style-type: none"> <li>• Implement and administer the Code of Conduct for Council Members, Committee Members and Candidates.</li> <li>• Implement and administer the Shire's Employee Code of Conduct.</li> <li>• Lead and promote a culture of integrity through collaboration, employee training and other activities.</li> <li>• Provide leadership in preventing, detecting, and responding to misconduct.</li> <li>• Oversee the implementation of the Shire's Risk Management Framework.</li> <li>• Provide appropriate training for Elected Members in accordance with the Code of Conduct for Elected Members, Committee Members and Candidates.</li> <li>• Notify the Corruption and Crime Commission (major misconduct) or the Public Sector Commission (minor misconduct) of any suspected incidences of misconduct as required by the Corruption, Crime and Misconduct Act 2003 (WA).</li> <li>• Provide reports and advice to the Audit, Risk and Improvement Committee and Council on integrity matters.</li> </ul>
Executive Team	<ul style="list-style-type: none"> <li>• Lead a culture of integrity through the active demonstration of Shire values and by communicating the importance of meeting integrity standards.</li> </ul>

	<ul style="list-style-type: none"> <li>• Promote a culture of integrity through collaboration, employee training and other activities.</li> <li>• Provide leadership in preventing, detecting and responding to misconduct.</li> <li>• Administer the Shire’s Risk Management Framework including business unit specific and integrity risks.</li> </ul>
Managers, Coordinators and Team Leaders	<ul style="list-style-type: none"> <li>• Demonstrate and lead commitment to integrity through active demonstration of the Shire’s values and by building an accountable workplace culture.</li> <li>• Commit to follow a thorough and unbiased recruitment process and to recruit individuals who are closely aligned with the Shire’s values.</li> <li>• Provide access to appropriate inductions and training for employee in accordance with the Employee Code of Conduct.</li> <li>• Ensure specific behaviours relating to integrity are addressed in the Employee Development Plan, reviewed annually.</li> <li>• Ensure all employees are aware of the Shire’s policies and procedures and understand their responsibilities.</li> <li>• Report any suspected act of misconduct in accordance with the Shire’s reporting process.</li> </ul>
All Employees	<ul style="list-style-type: none"> <li>• Demonstrate an awareness and understanding of:                             <ul style="list-style-type: none"> <li>○ the Shire’s Integrity Framework;</li> <li>○ the Employee Code of Conduct;</li> <li>○ the Shire’s policies and procedures; and</li> <li>○ the employee’s role.</li> </ul> </li> <li>• Report any instances of misconduct through the Shire’s misconduct reporting process.</li> <li>• Take responsibility for decisions and actions to ensure they are in the public interest.</li> <li>• Participate in training and seek information from their supervisor about, and advice on, situations where integrity matters arise.</li> <li>• Outlining all potential conflicts of interests and declaring any secondary employment.</li> </ul>
Audit, Risk and Improvement Committee	<ul style="list-style-type: none"> <li>• Receive reports from the Administration in relation to integrity risks, audit activities and other integrity controls.</li> <li>• Receive and review internal and external audits.</li> </ul>

## 2.2 Legislation and Regulations

The Shire operates under enabling legislation and maintains the following policies relevant to integrity:

- Code of Conduct Council Members, Committee Members and Candidates
- Employee Code of Conduct
- Fraud, Corruption and Misconduct Policy
- Risk Assessment and Management Policy
- Whistleblower (Public Interest Disclosure) Policy
- Record Keeping Policy
- Comprehensive Complaints Response Policy
- Council Code of Conduct Division 3 Complaint Handling Policy

## 2.4 Internal Controls, Audit and Governance

The Shire maintains strong internal governance processes, including internal audits, financial controls, procurement and HR controls, annual policy reviews, and recordkeeping systems. Governance mechanisms are designed to ensure accountability, transparency and compliance.

### Code of Conduct for Council Members and Employees

The Code of Conduct promotes the Shire's organisational values and provides expected standards of behaviour as required by regulations made under the *Local Government Act 1995 (WA)* ("LG Act").

### Freedom of Information

The *Freedom of Information Act 1992 (WA)* ("FOI Act") gives the public the right to apply for access to documents held by the Shire.

### Public Registers

The Shire is required by the LG Act to maintain certain registers that are designed to encourage transparency in its operations.

These registers include the:

- Electoral Gift Register
- Gift Register
- Travel Contributions Register
- Elected Member Complaints Register
- Interest Declaration Register
- Primary and Annual Returns
- Elected Member Fees, Allowances and Expenses

### Public Interest Disclosures

The *Public Interest Disclosures Act 2003 (WA)* ("PID Act") facilitates the disclosure of public interest information and provides protection for those making such disclosures and those who are the subject of disclosures. The Shire supports and complies with the aims and objectives of the PID Act and has zero tolerance towards improper or corrupt conduct.

### 2.5 Audit, Risk and Improvement Committee

The Audit, Risk and Improvement Committee supports the overall risk management process by:

- Ensuring the Shire has appropriate risk management and internal controls in place;
- Approving and reviewing risk management programmes and risk treatment options for extreme risks;
- Reviewing risk management tolerances/appetite and making recommendations to Council;
- Providing guidance and governance to support significant and/or high-profile elements of the risk management spectrum;
- Monitoring strategic risk management and the adequacy of internal controls established to manage the identified risks;
- Monitoring the Shire's internal control environment and reviewing the adequacy of policies, practices and procedures;
- Assessing the adequacy of risk reporting;
- Monitoring the internal risk audit function, including development of audit programs as well as monitoring of audit outcomes and the implementation of recommendations; and
- Reporting through the Chief Executive Officer to the Council on its recommendations.

## 3. Model and Embody a Culture of Integrity

### 3.1 Values and Standards

Integrity is fundamental to the Shire's operations. The integrity framework defines expected standards of professional behaviour and is underpinned by the Shire's values and Codes of Conduct. Values are embedded in recruitment, performance processes, training and communications.

### 3.2 Leadership and Management Attitude

Leaders are expected to model integrity, communicate expectations, take early action on concerns and promote ethical decision-making within their teams.

Leadership behaviour forms a core component of integrity culture.

### **3.3 Organisation Culture**

The Shire's leadership team demonstrates a strong and consistent commitment to integrity and ethical conduct. Leaders set the standard by modelling appropriate behaviour, reinforcing professional accountability and actively promoting integrity across the organisation.

This is achieved by promoting the Shire's values, encouraging the reporting of conduct that may compromise integrity through appropriate channels, and clearly communicating expectations for behaviour and performance. Leaders address issues promptly using established management and performance frameworks and engage openly in difficult conversations where required.

While trusting employees to make sound decisions, leaders also monitor performance and respond to concerns in a fair and consistent manner. Potential conflicts of interest, whether actual or perceived, are identified and addressed through leadership discussions and appropriate action.

These practices are supported by the Shire's staff culture and engagement program, which reinforces ethical behaviour and positive leadership. Through clear expectations and positive leadership, the Shire seeks to embed high standards of integrity as a normal and enduring part of its organisational culture.

## **4. Learn and Develop Integrity Knowledge and Skills**

### **4.1 Integrity Education and Capacity**

Integrity expectations, training, guidance and advice is supplied through:

- All new employees being provided with the Shire's Code of Conduct and being required to confirm they have read and understand the behavioral and performance expectations contained therein.
- Introduce new policies as required and provide all employees, elected members, and stakeholders with clear up-to-date information about the Shire's policies, protocols and administrative procedures relevant to maintaining high standards of public integrity.
- Implementation of risk and fraud controls, including conflict of interest and gift and benefit procedures and registers.
- Annual training for integrity, public interest disclosure, record keeping, human resources, procurement and Work, Health and Safety.

## **5. Be Accountable for Integrity**

### **5.1 Response to Integrity Breaches**

Integrity breaches are addressed in accordance with the Shire's policies and investigation requirements. Mandatory reporting obligations to external bodies, including the Public Sector Commission and the Corruption and Crime Commission are followed. Findings are used to enhance measures aimed at preventing future breaches.

### **5.2 Self-Analysis and Review**

This Integrity Framework will be reviewed every five (5) years, with earlier review undertaken where process gaps are identified or where continuous improvement opportunities arise.

The reviews will be informed by internal audit outcomes, external reports and integrity-related data to identify areas for improvement. The Chief Executive Officer is responsible for overseeing the review, with input from the Executive Team. Where required, Action Plans will be developed and implemented to address identified issues and strengthen the Shire's integrity controls.

## **6. Oversight**

Oversight of integrity systems is managed through internal audit processes, the Audit, Risk and Improvement Committee, governance reporting and monitoring of risk registers. These processes ensure the authority head remains informed of integrity performance and emerging issues.

## **Glossary**

Integrity – Acting ethically, honestly and in the public interest.

Misconduct – Behaviour that breaches expected standards or laws.

Corruption – Abuse of entrusted power for personal gain.

Accountability – Responsibility for actions, decisions and outcomes.

Public Interest Disclosure – Reporting wrongdoing under legislation.

### 9.3 IT DISASTER RECOVERY PLAN

<b>File Number:</b>	<b>4.11555</b>
<b>Author:</b>	<b>Kylie Williams, Manager Governance</b>
<b>Authoriser:</b>	<b>Alina Behan, Chief Executive Officer</b>
<b>Previously before Council:</b>	<b>Nil</b>
<b>Appendices:</b>	<b>1. IT Disaster Recovery Plan</b>

#### NATURE OF COUNCIL'S ROLE IN THE MATTER

Executive

#### PURPOSE OF REPORT

The purpose of the report is to present the IT Disaster Recovery Plan to the Audit, Risk and Improvement Committee (ARIC) and Council for consideration.

#### BACKGROUND

An IT Disaster Recovery Plan was developed to support the Shire's business continuity arrangements and was last presented to the Risk Working Group in September 2018. The Plan complements the Shire's Business Continuity Plan by establishing the framework for the recovery of critical information and communication technology (ICT) systems and services following a disruptive event.

To ensure the Plan remains aligned with current operational and cyber security risks, officers contracted Focus Networks to undertake a review and update of the IT Disaster Recovery Plan, presented in Appendix 1.

ICT disaster recovery encompasses the restoration of critical systems, data, applications and communications infrastructure following an event that significantly disrupts normal operations. Such events may include natural disasters, cyber incidents, equipment failure or human error, and may adversely affect the Shire's ability to deliver essential services.

The updated Plan provides a structured approach to the recovery of core ICT services following a major disruption, supporting the continuity of business operations and minimising the impact of service interruptions on the organisation and the community.

#### COMMENTS AND DETAILS

Focus Networks, the Shire's contracted ICT service provider, reviewed and updated the IT Disaster Recovery Plan in consultation with the Temporary Manager Governance and Governance Officer, who are currently the Shire's primary contacts for ICT matters. Virtual workshops were undertaken to review disaster recovery requirements and validate the Plan's response and recovery procedures.

As part of the Plan's ongoing implementation, Focus Networks conducts annual backup and recovery testing to verify the effectiveness of recovery processes and the restoration of critical systems and data. The next scheduled test is due to be completed before the end of the 2025/26 financial year.

The IT Disaster Recovery Plan contains information relating to the Shire's ICT infrastructure, backup systems and recovery arrangements. Accordingly, the parts of the document is considered confidential, as disclosure may compromise the security of the Shire's information systems and data.

#### OPTIONS

ARIC has the following options:

- Option 1:** ARIC could choose to recommend that Council adopt the updated IT Disaster Recovery Plan.
- Option 2:** ARIC could choose to not recommend adoption of the updated IT Disaster Recovery Plan.

Option 1 is the recommended option. Option 2 will reduce the Shire's ability to respond in the event of an incident leading to service disruption.

## **IMPLICATIONS TO CONSIDER**

### **Consultative**

Executive Leadership Group

Finance Manager

Focus Networks

### **Strategic**

Nil

### **Policy Related**

G19 Risk Assessment and Management

### **Financial**

There are no financial implications until an event occurs.

### **Legal and Statutory**

Regulation 17 of the *Local Government (Audit) Regulations 1996* is applicable and states:

#### **“17. CEO to review certain systems and procedures**

- (1) *The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to the following matters —*
  - (a) *financial management; and*
  - (b) *legislative compliance; and*
  - (c) *risk management.*
- (2) *Under subregulation (1), the CEO may review any or all of the matters referred to in subregulation (1)(a) to (c) at any time but must review each of those matters not less than once in every 4 financial years.*
- (3) *The CEO must report to the audit, risk and improvement committee the results of each review carried out under subregulation (1).”*

### **Risk Related**

The IT Disaster Recovery Plan mitigates the Shire for risks associated with service interruption, compliance, reputation, finances and harm caused from cyber incidents.

### **Workforce**

There are no financial implications until an event occurs.

## **VOTING REQUIREMENTS**

**Absolute Majority: Yes**

**COMMITTEE RECOMMENDATION**

**Moved: Deputy Presiding Member Sonia McKeiver      Seconded: Cr Chris Gibbs**

**That, with regard to the IT Disaster Recovery Plan, the Audit, Risk and Improvement Committee recommend to Council that it:**

- 1. Resolves to adopt the IT Disaster Recovery Plan, as presented in Appendix 1.**
- 2. Authorises the Chief Executive Officer to make any necessary minor typographical and formatting changes prior to publication.**

**In Favour:      Crs Shona Zulsdorf, Sonia McKeiver, Chris Gibbs, Denese Smythe and Kevin Trent**

**Against:      Nil**

***CARRIED 5/0 BY ABSOLUTE MAJORITY***

**FOCUS**  
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# I.T. Disaster Recovery Plan

March 2026

## Authorisation

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This plan has been prepared by Focus Networks and is authorised by:

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Alina Behan  
Temporary Chief Executive Officer  
Shire of York

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Kylie Williams  
Temporary Manager Governance  
Shire of York

## Document Control

Amendments or changes following original document creation, are documented below. The author making changes should date and describe the required changes. These changes will be reviewed, and the effective date and version date will be amended.

DATE	VERSION	DESCRIPTION	AUTHOR
03.12.2025	0.1	Document Creation	Todd Koepler
05.12.2025	0.2	Modification and addition of appendices	Todd Koepler
20.01.2026	0.3	Updating of key information	Todd Koepler
12.02.2026	0.4	Updating of graphics and flows	Todd Koepler
17.02.2026	0.5	Finalising key sections of document	Todd Koepler
18.02.2026	0.6	Client meeting to run through document	Todd Koepler David Staeck
19.02.2026	0.7	Document sent to client to finalise	Todd Koepler
20.03.2026	1.0	Final Release	Todd Koepler

## Distribution

The Manager Governance and People controls the distribution of this document.

Title	Office Location	Copies
Manager Governance and People	York	1
Chief Executive Officer	York	1
Focus Networks	Victoria Park	1

**Contents**

**Overview ..... 5**  
 Activating this Plan ..... 5  
 Management of this Plan..... 6  
 Objectives of this Plan ..... 6  
**Plan: Activate ..... 8**  
 Activate ICT DRP ..... 8  
**Plan: Recover ..... 9**  
 Recovery Scope ..... 9  
 Recovery Exclusions ..... 9  
 Recovery Timeframes ..... 10  
 Recovery example – Power loss to the Shire’s server room ..... 11  
**Plan: Resume ..... 12**  
 Key business resumption activities ..... 12  
 Working spaces: remote work and hot desks ..... 12  
 Staff access to ICT resources ..... 12  
**Plan: Improve ..... 13**  
 Debrief ..... 13  
 Improvement opportunities ..... 13  
**Related Sources ..... 14**  
**Document Review ..... 14**  
**Appendix – Contact List ..... 15**  
**Appendix – Event log ..... 16**  
**Appendix – Recovery system configuration ..... 18**  
 Veeam Backup & Replication ..... 18  
 IT Disaster Recovery Cutover Test Procedure ..... 18  
**Appendix – Business Continuity Initiatives ..... 21**  
 Mobility and remote access ..... 21  
 Strategy and planning ..... 21  
 Third party expertise ..... 22  
**ICT DR Plan test register ..... 24**  
**Glossary ..... 26**

## Overview

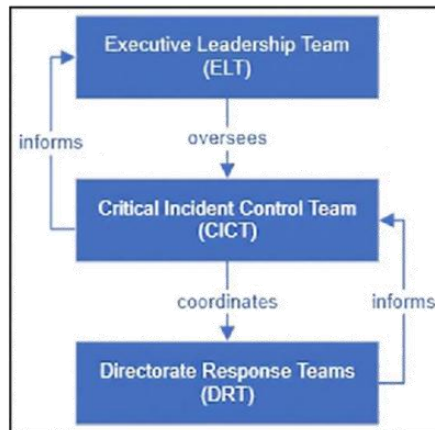
ICT disaster recovery is the process of restoring or continuing systems, data and processes after a disruptive event, such as a natural disaster, a cyberattack, or a human error. These events may disrupt the infrastructure, systems, software, or communication network resources critical for the continuity of the Shire’s business processes including mobile and remote workforces.

This Plan is devised to address a significant outage to core ICT services at the Shire.

### Activating this Plan

The Chief Executive Officer (CEO) holds sole authority to activate this plan by declaring a disaster. If the CEO is unavailable, the delegated Executive Manager may declare a disaster.

**To activate this Plan in the event of a disaster, turn to Plan: Activate.**



#### Executive Leadership Team (ELT)

Position	Phone	Mobile
Chief Executive Officer	9641 0503	[REDACTED]
Executive Manager Corporate and Community	9641 0509	[REDACTED]
Executive Manager Infrastructure and Development Services	9641 0509	[REDACTED]

**Critical Incident Control Team (CICT)**

Company / Position	Phone	Mobile
Manager Governance and People	N/A	[REDACTED]
IT Provider	[REDACTED]	N/A
Manager Finance	9641 0511	N/A
Governance Officer	9641 0527	N/A
Human Resources & Organisational Development Officer	9641 0523	N/A
Executive Support & Safety Officer	9641 0509	N/A

**Directorate Response Teams (DRT)**

Company / Position	Name	Phone
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]

**Management of this Plan**

Management of this plan falls under the responsibility of the Executive Leadership Team (ELT). If the individuals in this team are not available, the CICT may call on other ICT Representatives.

**Objectives of this Plan**

At all times, this Plan attempts to remain aligned to the overarching goals and strategies of the Shire and/or the Shire’s BCP.

The primary objective of the IT DR Plan is to maintain the availability of critical ICT services, minimising the impact of disruptive incidents on operations. This aligns with the Shire’s aims to ensure the continuity of all critical Shire services and business activities.

The ICT disaster recovery goals of this Plan are:

1. To prevent or reduce data loss and downtime by using backup and replication technologies.
2. To detect and respond to potential threats by conducting regular audits and tests.
3. To correct and improve the recovery procedures by learning from past incidents and applying best practices.
4. To establish alternative means of operation in advance by using cloud services or secondary sites.
5. To train personnel with emergency procedures and roles by conducting drills and simulations.

To achieve these goals, this Plan:

- Establishes actions and responses in the face of various disaster scenarios, ensuring optimal mobilisation of resources and personnel. This is designed to strengthen strategic decision-making of the Shire's ELT in response to a critical incident.
- Identifies communication activities to support staff and customers affected parties for the coordination of recovery actions.
- Details the procedures for data recovery and systems restoration to minimise operational downtime. This is crucial for the rapid reinstatement of critical services, aligning with the overarching goal of maintaining continuous Shire operations.
- The IT DR Plan is constructed to be both sturdy and adaptable, providing a strategic guide for recovery across a diverse range of disaster scenarios. This ensures that, regardless of the disaster's nature, the Shire's staff and response teams are equipped to manage a coordinated and efficient recovery.
- Outlines the steps for a gradual transition from emergency response to normal operations, facilitating a smooth return to the Shire's standard service levels and operational states.
- Is reviewed and changed to improve existing resilience against damage to the business in the event of an actual disaster or outage. Review of the DRP is also required upon significant changes to the Shire's business.

## Plan: Activate

### Activate ICT DRP

To activate the ICT DRP, three steps are taken:

**1) Business Continuity Plan**

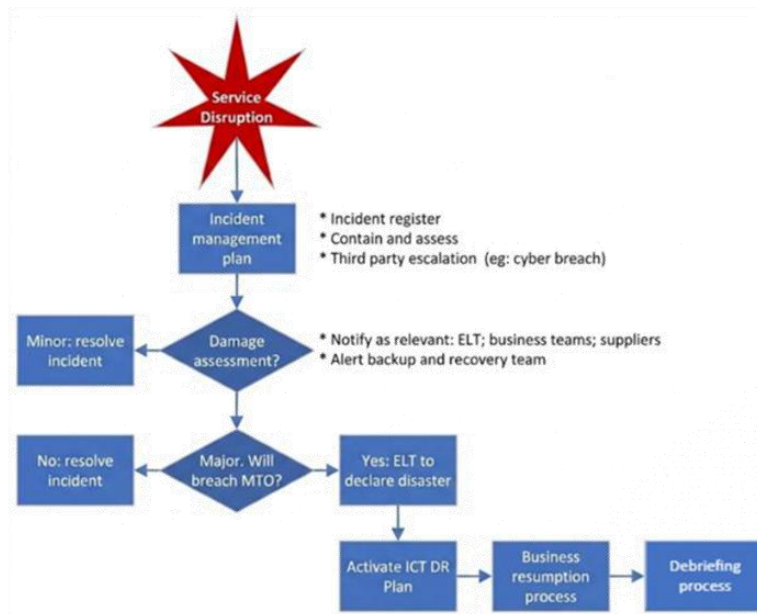
The Shire’s Business Continuity Plan will initially guide incident response. It may not be immediately clear if the situation qualifies as a disaster.

**2) Damage Assessment and Notifications**

Confirm the occurrence of a disaster, evaluate the scope of the damage, and determine whether it is necessary to mobilise recovery teams. Send notification of the potential or unfolding disaster.

**3) Formal Disaster Declaration Assessment**

Determine whether the Maximum Tolerable Outage (MTO) is in jeopardy, necessitating ELT to activate the ICT DRP.



## Plan: Recover

### Recovery Scope

The disaster recovery scope of ICT infrastructure covers:

- Network infrastructure, including routers, switches, firewalls, and wireless access points.
- Server infrastructure, including physical and virtual servers, operating systems, databases, and applications.
- Data storage and backup systems, including disks, tapes, cloud storage, and replication technologies.
- Communication systems, including email, phone, and collaboration tools.
- Security systems, including antivirus, encryption, authentication, and access control.
- Business applications, including enterprise resource planning (ERP) and records management.

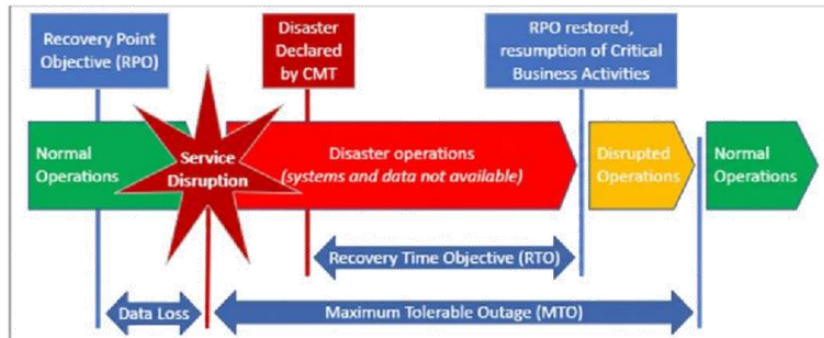
### Recovery Exclusions

The exclusions from this IT DR Plan are outlined as follows:

- It does not encompass the recovery of non-IT related Shire operations, such as manual procedures and resynchronisation of business processes, which are managed by respective internal business teams, for example:
  - Any Data Loss experienced by a business team will need to be managed
  - Processes that include scheduled or automated activities may need to be reviewed
- Development or test environments are not included in the recovery strategies.
- Disasters extending beyond the physical office locations of the Shire, including challenges related to cloud environments, hosted data centers, and the adaptation of home offices for work, are beyond this DRP's scope.
- Issues related to home network infrastructure, internet service providers (ISPs), and other external telecommunications services that may affect remote workers are not covered.
- Excludes maintenance activities for Core Applications and telecommunications infrastructure.

### Recovery Timeframes

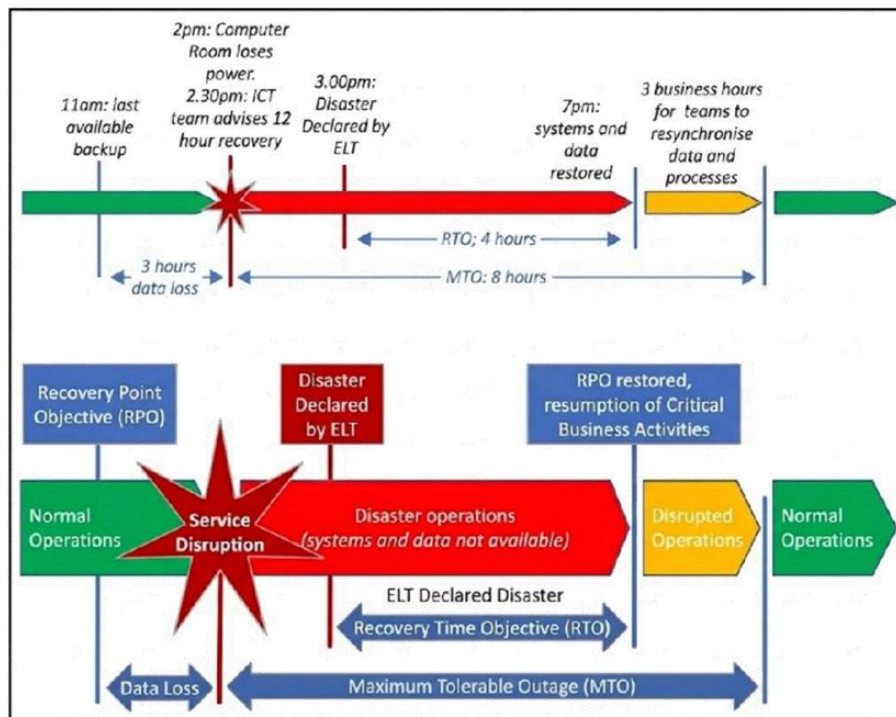
The Shire’s recovery timeframe requirements should observe the corporate BCP which includes Business Impact Analysis (BIA) metrics for the Shire’s Critical Business Activities.



Definitions	Shire comments & metrics
<b>Recovery Point Objective (RPO):</b> the worst <b>Data Loss</b> the Shire is willing to accept. This is the point from which recovery of lost data must take place.	Where a full data centre failover is required, the Shire’s <b>RPO</b> is currently between 1 and 8 hours from the time of a <b>Service Disruption</b> . This is because the Shire’s onsite data is backed up hourly and each day 3 to 4 of the hourly backups are replicated to an offsite data centre, subject to time and bandwidth availability.
<b>Recovery Time Objective (RTO):</b> the time to recover in-scope services to the point where <b>Critical Business Activities</b> have resumed.	The Shire’s <b>RTO</b> for a complete failover to a secondary data centre is 4 hours. This includes staff response and configuration time to restore backup replicas. This process is tested every 6 months.
<b>Maximum Tolerable Outage (MTO):</b> the amount of time the Shire’s <b>Critical Business Activities</b> may be unavailable or disrupted before business operations are severely impacted.	The Shire’s <b>MTO</b> is determined based on the corporate <b>BIA</b> . <b>Crucially, this means that if assessed time to correct a Service Disruption is estimated to breach MTO, then the ELT is recommended to declare a disaster.</b>
<b>Disrupted Operations:</b> activities to return to normal operations after the restoration of systems and data.	The Shire’s Directorate Response Team may need to work through business processes to ensure full return to Normal Operations, eg: resolving issues due to <b>Data Loss</b> ; reviewing the status of scheduled or automated processes since <b>RPO</b> .
<b>Data Loss:</b> data created between RPO and Service Disruption.	Where a full data centre failover is required, Data Loss is any data created before the <b>Service Disruption</b> that was not part of a backup replicated to an offsite data centre.

**Recovery example – Power loss to the Shire’s server room**

In this scenario, the Shire’s server room (Administration building) loses power. The ICT team determines that power can be restored in 12 hours. The last data backup to safely move to a secondary (offsite) data centre was 3 hours prior to the power outage.



Recovery example – key understandings

Key understandings from this scenario:

- It will take time for the ICT team to assess the impact of an incident. It will take time for ELT to declare a disaster.
- There will be data loss. Data is recovered from backups taken before a Service Disruption.
- Recovery doesn’t end when systems and data are restored. Business teams are responsible for managing “Disrupted Operations” after data restoration.
- Time of week and day will impact the capacity of a business team to move from Disrupted Operations to Normal Operations.

## Plan: Resume

### Key business resumption activities

The Shire's Managed Service Provider conducts health checks on the recovered ICT systems and data to assess their functionality and security.

The CICT will work with DRTs to assess the disaster's impact, with an immediate focus on restoring the most critical and essential functions. These checks are crucial for confirming that the recovered systems align with operational needs and effectively support business processes.

DRT business resumption activities include:

- Employing alternative solutions in instances where backups are compromised or unavailable.
- Thoroughly testing system functionality and confirming the integrity of restored data.
- Addressing any emerging issues or data discrepancies.
- Maintaining clear and continuous communication with stakeholders, clients, suppliers, and staff, updating them on recovery efforts and providing necessary support and instructions.
- Transitioning back to Normal Operations and meeting any compliance requirements.
- Recording any shortcomings, insights and lessons learned for future improvements.

### Working spaces: remote work and hot desks

With the shift in work dynamics post-COVID, the need for relocating sites or establishing new offices for administrative functions is less critical. Remote work environments (typically staff homes) are likely to be utilised. Establishing hot desk facilities at remote sites may provide suitable work spaces where remote work is not possible or suitable.

### Staff access to ICT resources

As part of the resumption strategy to facilitate staff relocation to home or remote work setups, staff mobility is enhanced via:

- Laptop devices used by all administrative staff.
- Cloud systems in use for business applications where currently feasible (including email, telephony and collaboration).
- Remote access for all staff to non-cloud systems via secure VPN.
- Ongoing work to digitise workflows into online systems..
- Ongoing work to move workloads to cloud systems
- Ongoing work to establish "always-on" VPN for seamless access to all Shire business systems from any location.

## Plan: Improve

### Debrief

To ensure this Plan remains up-to-date and effective, post-recovery debriefing is essential.

The debrief will confirm:

1. All necessary recovery actions and the resumption of regular business operations have been completed.
2. Any continuing impacts on systems, business functions, and clients are being managed.
3. The Shire has a clear understanding of the disaster's causes, effects, and impact.
4. Lessons learned are identified and recorded to inform future updates to the IT DR Plan and enhance disaster response strategies.
5. Any shortcomings in the existing recovery process are identified, enabling the initiation of projects aimed at their rectification or mitigation.

### Improvement opportunities

The Shire has the opportunity to improve IT recovery objectives and disruption timeframes by considering some key questions:

1. Does the current IT DR Plan meet the Shire's needs? If not, why not? Eg:
  - a. Business impact analysis gaps
  - b. Business impact analysis for peak processing times (E.g, Payroll, Rates)
  - c. Recovery timeframes do not align to Business impact analysis requirements
  - d. Data loss risk tolerance is too high
  - e. More testing of scenarios is required to improve the speed and quality of decision making and related communications
2. What technical options are available to improve recovery timeframes and reduce data loss? Eg:
  - a. Improve bandwidth availability to increase the frequency of backup files moving to secondary offsite data centre
  - b. Move all data to hosted environment with better inter-connectivity to improve backup frequency and the time required for failover restoration
3. Which environments cannot currently be recovered via a secondary data centre? Eg:
  - a. Non-managed systems (E.g, CCTV, building security systems)
4. Which externally hosted systems may require Disaster Recovery planning and testing?
  - a. Payroll, timesheet
  - b. Email, messaging, document storage and collaboration
  - c. Video conferencing/streaming

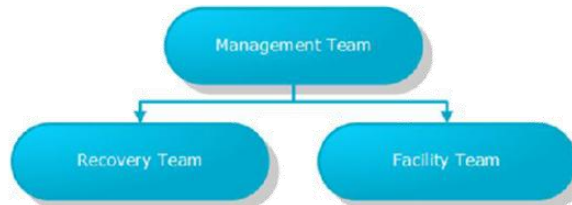
## Related Sources

- Shire of York – Corporate Business Continuity Plan
- Shire of York – Incident Register
- Shire of York – IT Supplier Register
- International Organization for Standardization (ISO) 27001
- Australian Signals Directorate (ASD) Essential Eight Maturity Model
- Australian Cyber Security Centre (ACSC) Information Security Manual

## Document Review

Responsibility and review of information	
Responsible officer:	Manager Governance and People
Last review date	February 2026
This review date	March 2026
Document adoption/approval details	<ul style="list-style-type: none"> <li>• TBC</li> </ul>
Key document amendment details	<ul style="list-style-type: none"> <li>• TBC</li> </ul>
Next review date	As part of annual testing As part of any ICT DR Plan activation of post-recovery debriefing
Next review notes	

## Appendix – Contact List



### Management

Position	Phone	Mobile
T/Chief Executive Officer	N/A	
A/Executive Manager Community and Corporate Services	9641 0509	
Executive Manager Infrastructure and Development Services	9641 0509	
T/Manager Governance	9641 0521	
Governance Officer	9641 0527	

### Facility Team

Position	Phone	Mobile
Manager of Finance	9641 0511	N/A
Manager Tourism and Economic Development	9641 0518	
Manager Community and Place	9641 0520	
Manager Development Services	N/A	
Manager Projects and Assets	N/A	
Manager Operations	9641 0529	

### Recovery Team

Company / Position	Name	Phone

## Appendix – Event log

Keeping a basic event log will assist the Debrief process and potentially inform Improvement opportunities. An example set of Events to record is listed below:

Event	Team	Time	Notes
[Redacted content]			

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## Appendix – Recovery system configuration

### Backup & Replication

The Shire uses Backup & Replication software to protect critical data. functionality includes instant recovery and streamlined replication processes to enable rapid restoration of services.

#### Role of Replicas in Disaster Recovery

In the Shire’s disaster recovery framework, replicas serve a critical function. Replication is the process of duplicating and is pivotal in ensuring that, in the event of a failure of the primary system, there is an exact, up-to-the-minute copy available for immediate activation. This replica is typically hosted off-site or on a separate system that is isolated from the primary system. This strategy significantly reduces downtime because the replica can be brought online immediately.

#### Replication and Restoration Timing

The time it takes to restore a Backup & Replication will vary depending on several factors, including the size of the the performance of the storage infrastructure, the network speed, and the current system load. For the Shire, a typical restoration process is as follows

#### Initiation

Launching the recovery process is near-instantaneous, usually within a few minutes after the disaster is declared.

#### Replication Switchover

Transitioning to a replica can be remarkably quick because the replica is an exact copy that is kept in a ready state. The switchover can often occur within minutes, ensuring that the critical services provided by the Shire experience minimal disruption.

#### Full Restore

If the requirement is for a full restore from a backup rather than a switchover to a replica, the time frame may be extended. This duration accounts for data transfer from the backup repository to the production storage.

#### Validation and Testing

Once the restoration or switchover is complete, the system must undergo a thorough testing phase to ensure all services are running correctly and data integrity is intact. This phase's duration is contingent upon the complexity of the services and the extent of the required testing.

### IT Disaster Recovery Cutover Test Procedure

A cutover test is performed to validate the effectiveness of the disaster recovery plan, ensuring that the Shire can rely on replicated to resume operations in an actual disaster scenario. The following checklist outlines the tasks completed by the IT team and the client during a DR cutover procedure.

- 
- 
- 
-



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[Redacted text block]

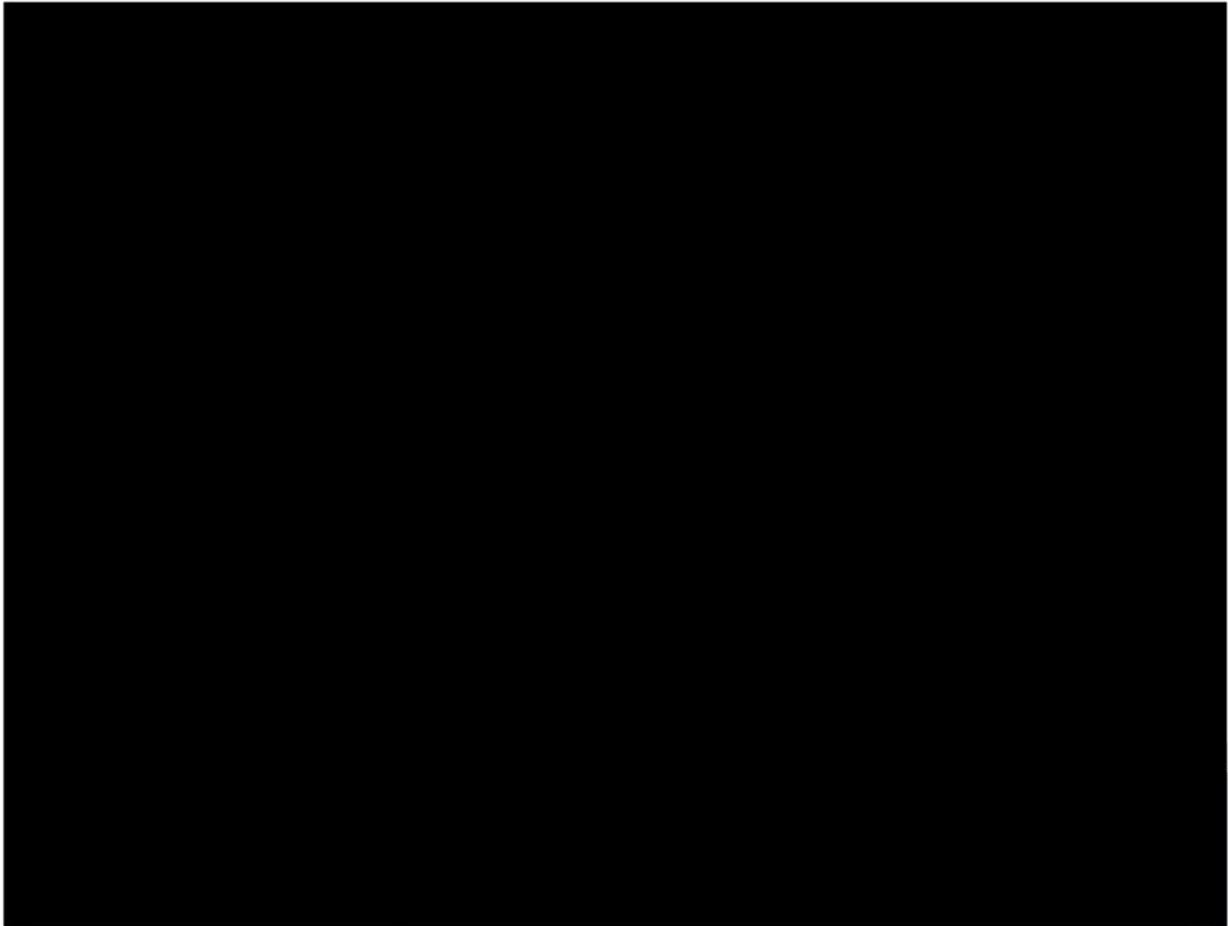
Following the completion of the initial cutover tests by the Focus Networks team, The Shire is responsible for the ensuing steps:

1. Application Testing on External Address - Test the accessibility and functionality of applications using their external addresses, such as [Redacted]
2. Files and Folders Verification - Access and check files and folders on mapped drives via Remote Desktop Services (RDS) servers.
3. External Internet Access - Confirm that servers within the replicated environment have proper external internet access.
4. Networking Between [Redacted] - Test the communication links between [Redacted] within the failover plan to ensure they are intact.

The checklist will be marked as 'Successfully Completed' upon finishing these steps. Any issues identified are to be noted in the 'Failure' section with details for follow-up actions. Steps that do not apply to the test scenario are to be labelled as 'Not Applicable'.

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## Appendix – Business Continuity Initiatives

The Shire has invested in a range of technology and processes to enable strong continuity and recovery of Shire services. Initiatives are outlined below.

### Mobility and remote access

#### [VPN](#)

A remote access VPN setup is implemented to ensure secure remote access, providing employees with continuous, secure connectivity to the network. This aligns with modern work-from-home policies and the need for reliable remote access.

#### [Multi-Factor Authentication \(MFA\)](#)

The Shire has enrolled staff in multi-factor authentication, which has formed the cornerstone of our remote security posture. This approach minimises the risk of unauthorised access and we are aiming to enhance the overall security of our systems.

#### [Working from Home Agreement](#)

A comprehensive working from home agreement is essential to guide employees on best practices for remote work, including security protocols, expectations for availability, and guidelines for using company resources. Our agreement is flexible and clear, allowing for effective remote work while maintaining security and productivity.

#### [VPN Licensing](#)

Ensuring that the Shire can increase VPN licenses on demand is essential for accommodating a sudden surge in remote work. This flexibility ensures that all employees can maintain secure access to the network without interruption.

#### [Spare Laptop Devices](#)

Having a reserve of ready-to-use laptop devices enables quick deployment to staff members who may need them for remote work. This preparation is crucial for maintaining operational continuity when access to the office is restricted.

#### [Bandwidth to Support Greater Remote Users Connecting to On-prem](#)

Increasing bandwidth capacity is vital to prevent bottlenecks as more employee's access on-premises resources remotely. This ensures that remote work remains productive and efficient, without the frustration of slow network connections.

### Strategy and planning

#### [Cloud Migration Strategy](#)

The Shire should look to engage in a phased approach to transitioning on-premises infrastructure to cloud environments. This includes the completed migration of ERP & ongoing transfer of record-keeping functions for potential cloud integration. This move aims to leverage cloud flexibility and resilience.

#### [Business Continuity Plan \(BCP\) Testing](#)

Tabletop exercises, including scenarios provided by the Australian Cyber Security Centre's "BCP in a box," are conducted to test the Business Continuity Plan. Future exercises will involve closer collaboration with the Governance team to cover a wider range of scenarios.

#### Alternative Workspace Solutions

Supplementary sites [REDACTED] should be designated as alternative workspaces, equipped to provide continuity of operations. These sites are integrated into the same computing network, ensuring seamless access to workstations and resources.

#### Business Impact Analysis (BIA) Review

A structured review process for the Business Impact Analysis ensures that recovery strategies remain aligned with the Shire's priorities. This includes considerations for the prioritisation of critical operations and the impact on system recovery sequencing.

#### Cybersecurity Training for Remote Work

Enhanced cybersecurity training and awareness programs are designed for staff working remotely, ensuring they are prepared for potential recovery scenarios and understand the risks associated with remote access.

#### Lessons Learned Review / Business Stakeholder Feedback

Continuous improvement is a cornerstone of disaster recovery planning. Reflecting on past experiences and integrating stakeholder feedback are invaluable for enhancing the Shire's plan's effectiveness.

#### Lessons Learned Review

After each DR test and actual disaster recovery effort, conducting a lesson learned review is crucial. This process involves all participants in the recovery efforts, including IT staff, executive leadership team, and key stakeholders. The goal is to identify what worked well, what didn't, and why, to improve future responses. This review helps in refining the DR plan, making it more resilient and responsive to actual disaster scenarios.

#### Business Stakeholder Feedback

Engaging business stakeholders in the review process ensures that the DR plan aligns with business needs and expectations. Stakeholders can provide insights into the impact of the disaster recovery efforts on business operations, highlighting areas for improvement from a business perspective. Feedback is solicited through structured mechanisms like debrief sessions to ensure comprehensive and actionable insights. Incorporating feedback and lessons learned into the DR plan is an ongoing process that enhances its relevance and effectiveness. This proactive approach ensures the Shire remains prepared for future challenges, with strategies and resources that are tested, refined, and aligned with business objectives.

#### Third party expertise

[REDACTED]  
[REDACTED] solutions are employed for both [REDACTED]  
[REDACTED] This dual-focus ensures comprehensive data protection across both physical and cloud-based environments, providing a strong foundation for disaster recovery efforts.

#### Backup and Recovery Testing

The Shire currently engages in routine testing of backup recoveries. This is essential to validate the effectiveness of our data restoration processes. Testing of replica recoveries is crucial to ensure that duplicate systems can be brought online promptly and efficiently. These practices are integral to confirming the reliability of the Shire's disaster recovery mechanisms.

#### Monitoring and Alerting

■■■■■ solutions are deployed for continuous monitoring and alerting on potential disaster threats. This proactive stance on disaster prevention aids in early detection and response to emerging threats.

#### Resource Management During a Crisis

Balancing internal and external resources, including support from partners like Focus Networks, is vital for maintaining operational depth and expertise during a crisis. The plan also addresses the importance of mental health support programs for staff with support from HR.

#### Ability to Scale Up Resources

The capacity to rapidly scale up IT resources is a critical component of the Shire's effective IT Disaster Recovery plan, ensuring the Shire can respond flexibly and robustly to varying degrees of demand, particularly in crisis scenarios.

## IT DR Plan test register

A register of backup and recovery testing can be found in Focus Network’s client drive:

I:\Shire of York \Reporting\DR Recovery

Date	Name of test	Recovery point	Notes
25/11/2019	Focus Networks Annual DR Test Checklist 2019		
03/03/21	Focus Networks Annual DR Test Checklist 2021		
24/08/2022	Focus Networks Annual DR Test Checklist 2022		
07/03/2024	Focus Networks Annual DR Test Checklist 2024		



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17/04/2025	Focus Networks Form - Annual IT DR Test Checklist 2025	

## Glossary

**ACTIVATION:** The implementation of disaster recovery capabilities, procedures, activities, and plans in response to an emergency or disaster declaration; the execution of the recovery plan.

**ALERT:** Notification that a potential disaster situation exists or has occurred; direction for the recipient to stand by for possible activation of the Disaster Recovery Plan.

**ALTERNATE SITE:** An alternate operating location to be used by business functions when the main office location is inaccessible. 1) Another location, computer Centre or work area designated for recovery. 2) Location, other than the main office location, that can be used to conduct business functions. 3) A location, other than the normal facility, used to process data and/or conduct critical business functions in the event of a disaster. SIMILAR TERMS: Alternate Processing Facility, Alternate Office Facility, Alternate Communication Facility, Backup Location, Recovery Site, and Recovery Centre.

**ALTERNATE WORK AREA:** Office recovery environment complete with office infrastructure (desk, telephone, workstation, and associated hardware, communications, etc.); also referred to as Workspace or Alternative Work Site.

**APPLICATION RECOVERY:** The component of Disaster Recovery that deals specifically with the restoration of business system software and data, after the processing platform has been restored or replaced.

**BACKUP GENERATOR:** An independent source of power, usually fueled by diesel (sometimes natural Gas).

**DISASTER RECOVERY PLANNING:** Process of developing advance arrangements and procedures that enable an organization to respond to an event in such a manner that critical business functions continue with planned levels of interruption. SIMILAR TERMS: Contingency Planning, Recovery Planning.

**BUSINESS CONTINUITY PROGRAM:** An ongoing program supported and funded by executive staff to ensure business continuity requirements are assessed, resources are allocated, and recovery and continuity strategies and procedures are completed and tested.

**COLD SITE:** An alternate facility that already has the environmental infrastructure in place required to recover critical business functions or information systems, but does not have any pre-installed computer hardware, communications network, etc. These must be provided at the time of disaster.

**COMMAND CENTRE:** Facility separate from the main facility that is equipped with adequate communications equipment from which initial recovery efforts are manned and media-business communications are maintained. The management team uses this facility temporarily to begin coordinating the recovery process until the alternate sites are functional.

**CONTACT LIST:** A list of team members and/or key players to be contacted (Mobile Number, Home Number, Pager, etc.).

**EXECUTIVE LEADERSHIP TEAM:** This team will consist of key executives, in response to crisis management needs and requirements.

**DAMAGE ASSESSMENT:** The process of assessing damage, following a disaster, to computer hardware, vital records, office facilities, etc. and determining what can be salvaged or restored and what must be replaced.

**DECLARATION:** A formal announcement by pre-authorized personnel that a disaster or severe outage is predicted or has occurred, and that triggers pre-arranged mitigating actions (e.g. move to an alternate site).

**DISASTER:** A sudden, unplanned catastrophic event causing great damage or loss. Any event that causes an organization to be unable to provide critical business functions for a pre-determined period.

**DISASTER RECOVERY:** Activities and programs designed to return operations to an acceptable condition. 1) The ability to respond to an interruption in services by implementing a disaster recovery plan to restore critical business functions.

**EMERGENCY:** A sudden, unexpected event requiring immediate action due to a potential threat to health and safety, the environment, or property.

**HOT SITE:** An alternate facility that already has the computer, communications and environmental infrastructure in place that is required to recover critical business functions or information systems.

**IT DR PLAN:** The document that defines the resources, actions, tasks and data required to manage the business recovery process in the event of a business disruption. The plan is designed to assist in restoring the business process within the stated disaster recovery goals.

**MAXIMUM TOLERABLE OUTAGE (MTO):** The maximum tolerable outage is the amount of time the critical business functions may be without the support of IT systems and applications before business operations are severely impacted. The MTO encompasses all activities from point of impact to point of recovery.

**OFF-SITE STORAGE:** Alternate facility, other than the primary production site, where duplicate vital records and documentation may be stored for use during disaster recovery.

**RECOVERY POINT OBJECTIVE (RPO):** The point in time to which systems and data must be recovered after an outage (e.g., end of the previous day's processing). RPOs are often used as the basis for the development of backup strategies.

**RECOVERY TIME OBJECTIVE (RTO):** The period within which systems, applications or functions must be recovered after a disaster declaration (e.g. one business day). RTOs are often used to determine whether to implement recovery strategies/plans.

**WARM SITE:** An alternate processing site that is equipped with some hardware, communication interfaces, and electrical and environmental infrastructure which is only capable of providing backup after additional provisioning, additional software, or modifications.

#### 9.4 REVIEW OF COUNCIL POLICY F4 - INVESTMENT

<b>File Number:</b>	<b>4.9680</b>
<b>Author:</b>	<b>Anneke Birleson, Acting Executive Manager Corporate &amp; Community Services</b> <b>Denise Gobbart, Manager Finance</b>
<b>Authoriser:</b>	<b>Alina Behan, Temporary Chief Executive Officer</b>
<b>Previously before Council:</b>	<b>23 July 2018 (140718)</b>
<b>Disclosure of Interest:</b>	<b>Nil</b>
<b>Appendices:</b>	<b>1. Amended Policy F4 - Investment</b>

#### NATURE OF COUNCIL'S ROLE IN THE MATTER

Executive

#### PURPOSE OF REPORT

This report presents for consideration and recommendation to Council to approve amendments to Council Policy F4 – Investments.

#### BACKGROUND

In accordance with section 6.14 of the *Local Government Act 1995*, local governments have the power to invest funds that are not, for the time being, required by the local government.

Regulation 19 of the *Local Government (Financial Management) Regulations 1996* (the Regulations) requires control procedures to be established and documented regarding investments. The Investment Policy forms part of those controls.

Regulation 19C of the Regulations outlines the restrictions on the investment of money. The provisions within the Policy must comply with these.

#### COMMENTS AND DETAILS

Key considerations undertaken as part of the policy review included:

- Legislative compliance
- Investment objectives
- Alignment with Council's risk appetite and current market conditions
- Appropriateness of investment limits
- Alignment with cash flow requirements and long-term financial planning
- Reporting requirements to support oversight

The following amendments have been identified:

- Correction to terminology clarifying the difference between funds and accounts.
- Minor typographical changes

- Removal of the grading descriptions of the Standard & Poor's Credit Ratings as Officers were unable to locate a reliable source for these descriptions. The ratings themselves are the indicators used when investment choices are being made.
- A reduction in the maximum portfolio investment for institutions with long term ratings of A+ or lower or short term ratings of A-1 or lower. This better reflects current investment choices and targets for optimal returns on investments. The Shire currently has approximately 83% of funds invested in institutions with a rating of AA-.
- Addition of Australian Accounting Standards Board (AASB) Standards to relevant Legislation.

A tracked change version of the Investment Policy is presented as Appendix 1.

## OPTIONS

The ARIC has the following options:

**Option 1:** The ARIC could choose to recommend to Council that it adopts the review of Policy F4 – Investment as presented in Appendix 1.

**Option 2:** The ARIC could choose not to recommend to Council to adopt the review of Policy F4 – Investment as presented in Appendix 1 and request additional or alternative amendments to the policy be considered.

Option 1 is the recommended option.

## IMPLICATIONS TO CONSIDER

### Consultative

Investment policies from other local governments

### Strategic

#### Council Plan 2025-2035

Pillar 5: Strong governance, responsive leadership

Community-informed, responsive leadership and strong governance

### Policy Related

F4 Investment

G19 Risk Assessment and Management

### Financial

Regular review of the Investment Policy supports the Shire to maximise returns on surplus funds whilst also safeguarding capital and liquidity. Review also ensures the investment approach remains appropriate for the current market environment.

### Legal and Statutory

#### **Local Government Act 1995**

#### **6.14. Power to invest**

*(1) Money held in the municipal fund or the trust fund of a local government that is not, for the time being, required by the local government for any other purpose may be invested as trust funds may be invested under the Trustees Act 1962 Part III.*

*(2A) A local government is to comply with the regulations when investing money referred to in subsection (1).*

*(2) Regulations in relation to investments by local governments may —*

- (a) make provision in respect of the investment of money referred to in subsection (1); and*
- [(b) deleted]*
- (c) prescribe circumstances in which a local government is required to invest money held by it; and*
- (d) provide for the application of investment earnings; and*
- (e) generally provide for the management of those investments.*

#### **6.15. Local government's ability to receive revenue and income**

*(1) A local government may receive revenue or income —*

*(a) from —*

- (i) rates; or*
- (ii) service charges; or*
- (iii) fees and charges; or*
- (iv) borrowings; or*
- (v) investments; or*
- (vi) any other source,*  
*authorised by or under this Act or another written law; or*

*(b) from —*

- (i) dealings in property; or*
- (ii) grants or gifts.*

*(2) Nothing in subsection (1)(a) authorises the making by a local government of a local law providing for the receipt of revenue or income by the local government from a source not contemplated by or under this Act.*

#### **Local Government (Financial Management) Regulations 1996**

##### **19. Investments, control procedures for**

*(1) A local government is to establish and document internal control procedures to be followed by employees to ensure control over investments.*

*(2) The control procedures are to enable the identification of —*

- (a) the nature and location of all investments; and*
- (b) the transactions related to each investment.*

##### **19C. Investment of money, restrictions on (Act s. 6.14(2)(a))**

*(1) In this regulation —*

*authorised institution means —*

- (a) an authorised deposit-taking institution as defined in the Banking Act 1959 (Commonwealth) section 5; or*
- (b) the Western Australian Treasury Corporation established by the Western Australian Treasury Corporation Act 1986;*

*foreign currency means a currency except the currency of Australia.*

*(2) When investing money under section 6.14(1), a local government may not do any of the following —*

- (a) deposit with an institution except an authorised institution;*

- (b) deposit for a fixed term of more than 3 years;*
- (c) invest in bonds that are not guaranteed by the Commonwealth Government, or a State or Territory government;*
- (d) invest in bonds with a term to maturity of more than 3 years;*
- (e) invest in a foreign currency.*

**Risk Related**

If the Investment Policy is not regularly reviewed the Shire may become exposed to compliance breaches, suboptimal financial performance, weakened governance controls, and increased audit and reputational risk. Review ensures alignment with legislation, market conditions, and Council's risk appetite, supporting sound financial stewardship of public funds.

**Workforce**

The scope of this report is managed within the current operational capacity.

**VOTING REQUIREMENTS**

**Absolute Majority: No**

**COMMITTEE RECOMMENDATION**

**Moved: Cr Kevin Trent**

**Seconded: Cr Chris Gibbs**

**That, with regard to Review of Council Policy F4 - Investment, the Audit, Risk and Improvement Committee recommends to Council that it:**

- 1. Adopts the reviewed Policy F4 – Investment, as presented in Appendix 1.**
- 2. Authorises the Chief Executive Officer to make any minor typographical and formatting changes to Policy F4 – Investment prior to publication.**

**In Favour: Crs Shona Zulsdorf, Sonia McKeiver, Chris Gibbs, Denese Smythe and Kevin Trent**

**Against: Nil**

**CARRIED 5/0**

## FINANCE POLICIES

### Investment



Policy Number:	F4
Relevant Delegation:	1.1.19 Power to Invest and Manage Investments
Adoption Details:	28 January 2016
Last Review Details:	25 November 2019

#### POLICY OBJECTIVE:

To provide guidance for the investment of Council funds that may not be required for immediate use, taking into account legislative requirements and risk while ensuring the Council's liquidity requirements are being met, along with a favourable rate of return.

#### POLICY SCOPE:

This Policy applies to the investment and management of all funds held by the Shire including operating and investment accounts. ~~applies to all funds (including general funds, reserve funds and other restricted funds) invested by the Council.~~

#### POLICY STATEMENT:

#### INTRODUCTION

The investment of funds is a crucial aspect to good financial management. The Shire needs to ensure the preservation of capital and appropriate liquidity whilst ensuring a good rate of return is achieved within Policy guidelines. Revenue from investments is a funding source for the Shire and assists in maintaining the value of financial reserves.

#### PRINCIPLES

- (a) Investments must be placed in portfolios which protect the Shire's capital.
- (b) There must always be adequate liquidity to meet anticipated cash flow requirements.
- (c) Proper records of investments are kept and reported to Council.

#### PROVISIONS

##### 1. GENERAL

- 1.1 There must be full compliance with Regulation 19C of the Local Government (Financial Management) Regulations 1996 ~~19C~~ which prohibits a local government from:
- (a) depositing funds with an unauthorised institution (~~An~~an authorised institution is defined in Section 3 below).
  - (b) depositing funds for a fixed term of more than 3 years.
  - (c) investing in bonds that are not guaranteed by the Commonwealth Government or a State or Territory Government.
  - (d) investing in bonds with a term to maturity of more than 3 years.
  - (e) investing in a foreign currency.

- 1.2 Council funds may be invested in one or more of the following:
  - (a) Fixed Term Deposits (~~For~~for a fixed term of 3 years or less).
  - (b) Commercial Bank Bills (~~For~~for a fixed term of 3 years or less).
  - (c) Government Bonds (~~For~~for a term to maturity of 3 years or less).
  - (d) Cash Management Funds (~~For~~for a fixed term of 3 years or less).
- 1.3 Council funds are to be invested with the following financial institutions:
  - (a) Banking institutions holding a banking licence under Commonwealth Banking Legislation with a BBB+ rating or better, as set by Standard and Poor’s. The Institution must be an Authorised Deposit-Taking Institution (ADI) as defined under the *Banking Act 1959*.
  - (b) Bonds issued and guaranteed by government.
- 1.4 Investments, whenever possible, are to be placed with ~~Local-local Banks-banks~~ giving consideration to interest rates and keeping within the limitations of the Global Credit Framework.
- 1.5 The Chief Executive Officer has the delegated authority to invest surplus funds in accordance with this Policy.

**2. PROBITY**

- 2.1 To ensure there is not a conflict of interest, officers shall refrain from personal activities that would conflict with the proper execution and management of the Shire’s investment portfolio.
- 2.2 To satisfy audit obligations, Letters of Confirmation will be obtained from the financial institutions confirming details of investments held on Council’s behalf as at 30<sup>th</sup> June each year.

**3. CREDIT RISK MANAGEMENT**

**Global Credit Framework**

- 3.1 To control the credit quality on the entire portfolio, a global credit framework will apply to limit the percentage of the portfolio exposed to any particular rating category. The maximum available limits in each Standard & Poor’s credit rating category are detailed as follows:

~~Standard and Pooers~~ – Credit Ratings:

Long Term	Short Term	Maximum % Total Portfolio	Description
AAA	A-1+	100	Prime
AA+		100	
AA		100	
AA-		100	
A+	A-1	<del>100</del> 90	Upper-Medium Grade
A		<del>100</del> 90	

A-	A-2	<del>7050</del>	
BBB+		<del>5040</del>	<del>Lower-Medium-Grade</del>

**4. INVESTMENT REPORTING**

4.1 Investments must be appropriately recorded in the Shire’s financial records and reconciled on a monthly basis.

4.2 A monthly investment report must be provided to Council after the end of that month. The report shall give results for the calendar month in question and year to date. The report shall be segregated into three segments for the following:

- ~~General-Municipal-Funds.~~
- Reserve ~~Funds.~~
- Trust ~~Funds.~~

The following detail is to be provided for each segment:

- Total funds invested by institution and investment type.
- Maturity date.
- Credit ratings of the investments.
- Current interest rates of individual investments.
- Total investments earnings year to date against budget.

**PENALTIES:**

Not applicable.

**KEY TERMS/DEFINITIONS:**

Standard & Poor’s – a financial services company providing index data and a source of independent credit ratings.

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Responsible Officer: Executive Manager Corporate & Community Services  
 Contact Officer: Finance Manager  
 Relevant Legislation: Local Government Act 1995 – Sections 6.14 & 6.15  
 Local Government (Financial Management) Regulations 19 & 19C  
 The Trustee Act 1962 – Part III Investments as amended by the  
 Trustees Amendment Act 1997  
 Banking Act 1959  
 Western Australian Treasury Corporation Act 1986  
[Australian Accounting Standards Board \(AASB\) Standards](#)

Review History:

Date Review Adopted:	Resolution Number
Adopted – 28 January 2016	
Reviewed – 24 October 2016	121016
Reviewed– 23 July 2018	

Reviewed– 25 November 2019	291119
<u>Reviewed – TBC</u>	
<b>Former Policy No:</b>	F1.4

**9.5 RISK MANAGEMENT UPDATE AS AT JUNE 2026**

<b>File Number:</b>	<b>4.8787</b>
<b>Author:</b>	<b>Kylie Williams, Manager Governance</b>
<b>Authoriser:</b>	<b>Alina Behan, Temporary Chief Executive Officer</b>
<b>Previously before Council:</b>	<b>09 September 2025 (210925) 16 December 2025 (181225) 24 March 2026 (100326)</b>
<b>Disclosure of Interest:</b>	<b>Nil</b>
<b>Appendices:</b>	<b>1. Risk Snapshot - Summary 2. Risk Dashboard</b>

**NATURE OF COUNCIL'S ROLE IN THE MATTER**

Legislative

**PURPOSE OF REPORT**

This report provides the Audit, Risk and Improvement Committee (ARIC) with an update regarding progress on the Shire's Risk Plan.

**BACKGROUND**

The Shire of York's Risk Assessment and Management Policy, in conjunction with the Risk Management Framework, sets out the Shire's approach to the identification, assessment, management and monitoring of risks.

The Shire's Risk Management Objectives are:

1. Optimise the achievement of our vision, experiences, strategies, goals and objectives.
2. Provide transparent and formal oversight of the risk and control environment to enable effective decision making.
3. Enhance risk versus return within our risk appetite.
4. Embed appropriate and effective controls to mitigate risk.
5. Achieve effective corporate governance and adherence to relevant statutory, regulatory and compliance obligations.
6. Enhance organisational resilience.
7. Identify and provide for the continuity of critical operations.

It is essential to monitor and review the management of risks as changing circumstances may result in some risks increasing or decreasing in significance. By regularly reviewing the effectiveness and efficiency of controls and appropriateness of treatment/action options selected, it can be determined if the organisation's resources are being put to the best use possible.

Each Risk on the Strategic Risk Register has a set of key Controls which, in turn have Risk Actions. Each Risk, Action and Control has an Officer allocated to it and an expected timeline for completion. Officers are required to report on progress at least monthly.

## COMMENTS AND DETAILS

At its previous meetings, ARIC considered proposed reporting methods for progress updates against the Strategic Risk Register. Officers note ARIC's request for reporting that provides a clear, high-level snapshot of the Strategic Risk Register. On 10 March 2026 the Acting Executive Manager Corporate and Community held a workshop with ARIC, to identify potential steps to improve risk reporting. ARIC provided commentary for consideration, which has been noted by Officers.

Due to resourcing constraints, Officers have been unable to finalise and present a revised draft Risk Report for ARIC's consideration during this reporting period. Officers have identified actions for the next quarter, including engagement with the Town of Victoria Park to discuss its recent risk review process, and utilisation of Government Frameworks, Cascade software reports. It has also been identified that a review of the Risk Management Framework may be required to provide further clarity regarding the distinction and relationship between operational and strategic risks, to support consistent risk recording and reporting practices.

For this meeting, high-level Strategic Risk reporting has been generated using the existing report template in Government Frameworks, Cascade software. The reporting is presented in two formats:

1. Strategic Risk Register Dashboard, presented in Appendix 1.
2. Strategic Risk Register Snapshot, presented in confidential Appendix 2.

It is anticipated that a workshop will be held prior to September 2026 ARIC meeting, to discuss progress and direction for improved risk reporting.

## OPTIONS

The ARIC has the following options:

**Option 1:** The ARIC could recommend to Council that it notes the reporting progress made to date and requests the Temporary Chief Executive Officer to report on progress against the Strategic Risks at its June 2026 Ordinary Meeting.

**Option 2:** The ARIC could recommend to Council that it notes the progress made to date, requests further development of the reporting tools and requests the Temporary Chief Executive Officer to present the final reporting tools for approval and report on progress against the Strategic Risks at its June 2026 Ordinary Meeting.

Option 1 is the recommended option.

## IMPLICATIONS TO CONSIDER

### Consultative

Executive Leadership Team

Organisational Management Group

City of Bayswater

### Strategic

Council Plan 2025-2035

Pillar 5: Strong governance, responsive leadership

Community-informed, responsive leadership and strong governance

### Policy Related

G19 Risk Assessment and Management

### Financial

Financial implications of the proposed risk mitigation strategies are presented to Council as they emerge and inform the annual budget process.

**Legal and Statutory**

Regulation 17 of the *Local Government (Audit) Regulations 1996* is applicable and states:

**“17. CEO to review certain systems and procedures**

- (1) *The CEO must review the appropriateness and effectiveness of the local government’s systems and procedures in relation to the following matters —*
  - (a) *financial management;*
  - (b) *legislative compliance;*
  - (c) *risk management.*
- (2) *Under subregulation (1), the CEO may review any or all of the matters referred to in subregulation (1)(a) to (c) at any time but must review each of those matters not less than once in every 4 financial years.*
- (3) *The CEO must report to the audit, risk and improvement committee the results of each review carried out under subregulation (1).”*

**Risk Related**

The development and regular update of an organisational Risk Register is a risk management tool.

**Workforce**

It is proposed that risk mitigation actions are undertaken within current resources. Where additional resources are required, this will be identified and submitted as part of the annual budget process.

**VOTING REQUIREMENTS**

**Absolute Majority: No**

**COMMITTEE RECOMMENDATION**

**Moved: Cr Kevin Trent**

**Seconded: Cr Chris Gibbs**

**That, with regard to the Risk Management Update as at June 2026, the Audit, Risk and Improvement Committee recommends to Council that it:**

- 1. Notes the progress made to date in relation to the Strategic Risk Register.**
- 2. Requests the Temporary Chief Executive Officer to present a Risk Management Update, including specific reporting on the Strategic Risk Register, to the Audit, Risk and Improvement Committee at its September 2026 meeting.**

**In Favour: Crs Shona Zulsdorf, Sonia McKeiver, Chris Gibbs, Denese Smythe and Kevin Trent**

**Against: Nil**

**CARRIED 5/0**



**RISK REGISTER**  
04/06/2026

**RISK PLAN**

**RISK REGISTER**

Goal	Potential Causes	Risk Assessment	Current Completion	Due Date
<b>INJURY OR DEATH</b>	Operator error Inadequate training Inadequate oversight and performance management Failure to adhere to policies and processes Ineffective policies and processes Outdated practices or equipment Inadequate equipment maintenance Failure of infrastructure Natural disaster Terrorism/criminal act Leadership failure Short lead times, lack of planning Poor communication	Financial: Extreme - >\$500K Compliance: Extreme ( 5 ) Reputational: Major People: Extreme Service Interruption: Minor < 1 day Natural Environmental: Insignificant Property: Insignificant Project Time: Insignificant Risk Consequence Calculation: 5 - Catastrophic Project Cost: Insignificant Max Control L'hood Score: Rare Risk Rating: <b>Moderate</b>	On Track	31/12/2030

Goal	Potential Causes	Risk Assessment	Current Completion	Due Date
<b>FAILURE / LOSS OF INFRASTRUCTURE</b>	Poor asset management practices/documentation Inadequate maintenance Natural disaster Terrorism/criminal act Cyber? Poor contractor management Unskilled contractors/staff Failure to achieve adequate resourcing/budget Unavailability of component parts Inadequate insurance Inadequate use policies/procedures	Financial: Extreme - >\$500K Compliance: Minor ( 2 ) Reputational: Moderate People: Insignificant Service Interruption: Extreme > 1 month Natural Environmental: Insignificant Property: Catastrophic Project Time: Insignificant Risk Consequence Calculation: 5 - Catastrophic Project Cost: Insignificant Max Control L'hood Score: Rare Risk Rating: <b>Moderate</b>	On Track	31/12/2030
<b>THEFT / FRAUD / MISCONDUCT</b>	Cyber crime Collusion between internal and external parties Insufficient internal controls Failure to adhere to policies and processes Ineffective policies and processes Inadequate record keeping (cash and physical assets) Inadequate oversight Inadequate cash storage/security measures Greed, gambling or a sense of entitlement Covering up poor work performance Lack of due diligence in recruitment process (confirm person, references, qualifications, police check)	Financial: Extreme - >\$500K Compliance: Extreme ( 5 ) Reputational: Major People: Insignificant Service Interruption: Insignificant < 1 hour Natural Environmental: Insignificant Property: Catastrophic Project Time: Insignificant Risk Consequence Calculation: 5 - Catastrophic Project Cost: Insignificant Max Control L'hood Score: Likely Risk Rating: <b>Extreme</b>	On Track	31/12/2030

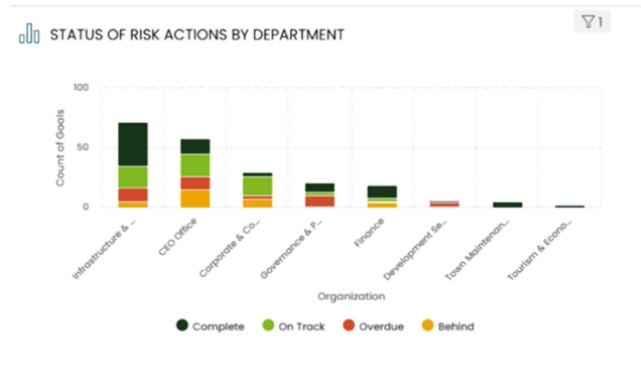
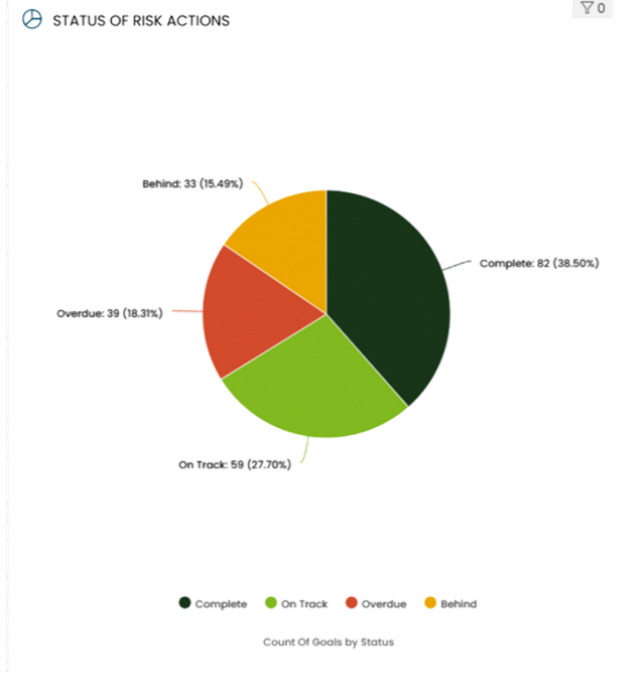
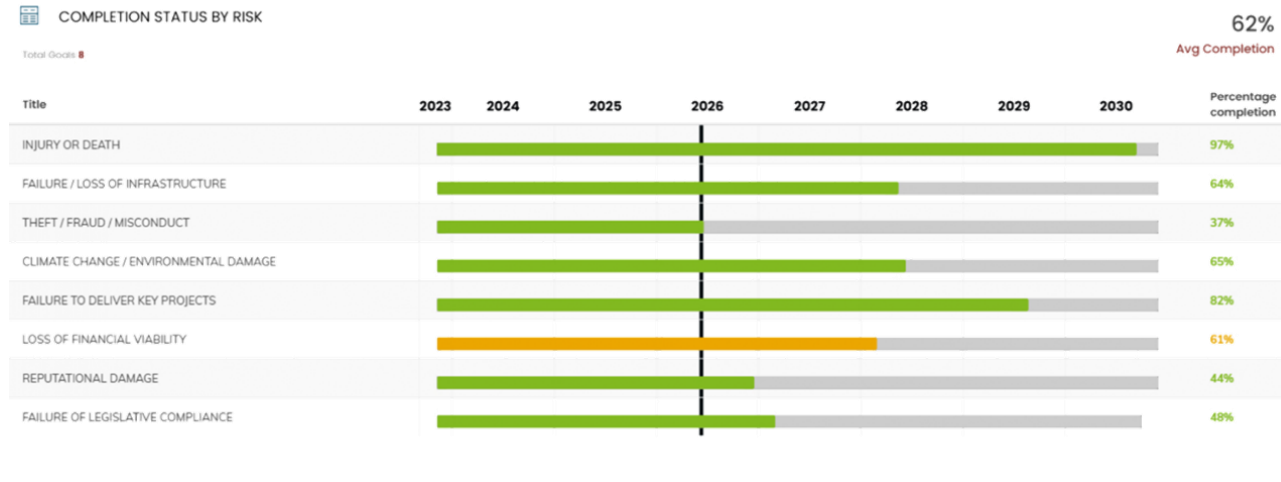
Goal	Potential Causes	Risk Assessment	Current Completion	Due Date
<b>CLIMATE CHANGE / ENVIRONMENTAL DAMAGE</b>	Failing to adhere to legislative requirements (chemical management etc) Failure to adhere to policies and processes Ineffective policies and processes Operator error Inadequate training Inadequate oversight Outdated practices or equipment Inadequate equipment maintenance Failure of infrastructure Inadequate rep Natural disaster Terrorism/criminal act	Financial: Major \$100K - \$500K Compliance: Extreme ( 5 ) Reputational: Major People: Minor Service Interruption: Minor < 1 day Natural Environmental: Major Property: Moderate Project Time: Insignificant Risk Consequence Calculation: 5 - Catastrophic Project Cost: Insignificant Max Control L'hood Score: Rare Risk Rating: <b>Moderate</b>	On Track	31/12/2030
<b>FAILURE TO DELIVER KEY PROJECTS</b>	Inability to source suitable contractors or parts Insufficient resources	Financial: Extreme - >\$500K Compliance: Moderate ( 3 ) Reputational: Moderate People: Minor Service Interruption: Extreme > 1 month Natural Environmental: Insignificant Property: Insignificant Project Time: Extreme Risk Consequence Calculation: 5 - Catastrophic Project Cost: Moderate \$25K - \$100K Max Control L'hood Score: Likely Risk Rating: <b>Extreme</b>	On Track	31/12/2030

Goal	Potential Causes	Risk Assessment	Current Completion	Due Date
<b>LOSS OF FINANCIAL VIABILITY</b>	Boundary changes / ratepayer base changes Insufficient funding	Financial: Extreme - >\$500K Compliance: Major ( 4 ) Reputational: Extreme People: Insignificant Service Interruption: Extreme > 1 month Natural Environmental: Insignificant Property: Insignificant Project Time: Extreme Risk Consequence Calculation: 5 - Catastrophic Project Cost: Insignificant Max Control L'hood Score: Rare Risk Rating: <b>Moderate</b>	Behind	31/12/2030
<b>REPUTATIONAL DAMAGE</b>	Loss of community confidence in elected member decision making Fraud theft or misconduct Poor financial management Failure to comply with legislative requirements Poor governance	Financial: Moderate \$25K - \$100K Compliance: Minor ( 1 ) Reputational: Major People: Insignificant Service Interruption: Moderate < 1 week Natural Environmental: Insignificant Property: Insignificant Project Time: Insignificant Risk Consequence Calculation: 4 - Major Project Cost: Insignificant Max Control L'hood Score: Unlikely Risk Rating: <b>Moderate</b>	On Track	31/12/2030

Goal	Potential Causes	Risk Assessment	Current Completion	Due Date
<b>FAILURE OF LEGISLATIVE COMPLIANCE</b>	Lack of training, awareness, and knowledge Rapid staff or councillor turnover Inadequate record keeping Failure to adhere to policies and processes Ineffective policies and processes Poor access to expert guidance No compliance oversight Ineffective monitoring of changes to legislation	Financial: Extreme - >\$500K Compliance: Extreme ( 5 ) Reputational: Extreme People: Extreme Service Interruption: Insignificant < 1 hour Natural Environmental: Extreme Property: Insignificant Project Time: Insignificant Risk Consequence Calculation: 5 - Catastrophic Project Cost: Insignificant Max Control L'hood Score: Possible Risk Rating: <b>High</b>	On Track	31/10/2030

STRATEGIC RISK MANAGEMENT PROGRESS OVERVIEW

Date: 06/04/2026



**9.6 UPDATE ON THE FINDINGS IDENTIFIED DURING ANNUAL FINANCIAL AUDITS**

<b>File Number:</b>	<b>4.9726</b>
<b>Author:</b>	<b>Anneke Birleson, Acting Executive Manager Corporate &amp; Community Services</b> <b>Denise Gobbart, Manager Finance</b>
<b>Authoriser:</b>	<b>Alina Behan, Temporary Chief Executive Officer</b>
<b>Previously before Council:</b>	<b>30 September 2025 (210925)</b> <b>16 December 2025 (181225)</b> <b>24 March 2026 (100326)</b>
<b>Disclosure of Interest:</b>	<b>Nil</b>
<b>Appendices:</b>	<b>1. Audit Plan</b>

**NATURE OF COUNCIL'S ROLE IN THE MATTER**

Executive

**PURPOSE OF REPORT**

This report presents an update on the Findings identified in the Annual Audits to the Audit, Risk and Improvement Committee (ARIC) for consideration and, if satisfactory, recommendation to Council for noting and, where appropriate, acceptance.

**BACKGROUND**

Officers continue to report through the ARIC to Council on the Findings from Annual Audits, with Council last considering the ARIC's recommendations at its March 2026 Ordinary Meeting where it resolved (100326):

***“That, with regard to the Minutes and Recommendations of the Audit, Risk and Improvement Committee Meeting held on 10 March 2026, Council:***

- 1. Receives the Unconfirmed Minutes of the Audit, Risk and Improvement Committee Meeting held on 10 March 2026, as presented in Appendix 1, and by adopting the following recommendations of the Audit, Risk and Improvement Committee, Council:***
  - a. Resolves to adopt the Mid-Year Budget Review and supporting information.***
  - b. Resolves to adopt the Budget Amendments detailed in Note 5.***
  - c. Requests the Temporary Chief Executive Officer to forward the adopted 2025/26 Mid-Year Budget Review to the Department of Local Government, Industry Regulation and Safety within fourteen (14) days of Council's adoption.***
  - d. Accepts the actions taken and residual risk for the following three (3) Findings:***
    - i. Former employee listed as authorised signatory in bank confirmation***
    - ii. Fixed assets items were not recorded in the fixed asset register in a timely manner***
    - iii. Old PPE assets carried in the Fixed Asset Register***
  - e. Requests the Temporary Chief Executive Officer to report back on progress against the remaining four (4) Findings:***

- i. Non-compliance with depreciation policy*
- ii. Untimely preparation and review of bank reconciliations*
- iii. Monitoring of grants income and expenses*
- iv. Plant recovery cost base rate and indirect/overhead cost allocation rate to the Audit, Risk and Improvement Committee at its June 2026 meeting.*
- f. Resolves that the Audit Findings Register contain only the remaining outstanding Audit Findings as listed at point e above.*
- g. Accepts the confidence level in the 2024-2039 Long Term Financial Plan in relation to the development of the 2026/27 Annual Budget.*
- h. Requests the Chief Executive Officer to undertake a minor review of the Long Term Financial Plan in the 2026/27 financial year to inform the 2027/28 Annual Budget.*
- i. Notes the progress made to date in relation to the Strategic Risk Register.*
- j. Requests the Temporary Chief Executive Officer to present a Risk Management Update, including specific reporting on the Strategic Risk Register, to the Audit, Risk and Improvement Committee at its June 2026 meeting.*
- k. Defers the review of the Terms of Reference for the Audit, Risk and Improvement Committee to the Audit, Risk and Improvement Committee's June 2026 Ordinary Meeting."*

In accordance with point e. of the above Resolution, Officers have undertaken a risk assessment of each Finding, identified controls put into place and determined whether further treatment of the risk is required or if Officers are recommending the action taken and residual risk is acceptable.

Officers now present the actions undertaken against Audit Findings that have been identified as requiring further treatment and request that ARIC and Council accept the residual risk.

## COMMENTS AND DETAILS

Audit Findings are rated by the Auditors as Significant, Moderate or Minor (defined below).

<b>Significant</b>	Those findings where there is potentially a significant risk to the entity should the finding not be addressed by the entity promptly. A significant rating could indicate the need for a modified audit opinion in the current year, or in a subsequent reporting period if not addressed. However, even if the issue is not likely to impact the audit opinion, it should be addressed promptly.
<b>Moderate</b>	Those findings which are of sufficient concern to warrant action being taken by the entity as soon as practicable.
<b>Minor</b>	Those findings that are not of primary concern but still warrant action being taken.

Officers have applied the Risk Management Procedures, as outlined in the Shire's Risk Management Framework, to assess the risks to the organisation for each of the Findings:

1. Each Finding has been risk assessed based on the existing controls being in place and given an overall Risk Rating.
2. Based on the additional controls put in place, as recommended by the Auditors or identified by Shire Officers, the effectiveness of these controls has been identified and a Residual Risk Rating provided.
3. Based on the Residual Risk Rating an assessment of the acceptance level of the residual risk has been made. Where the residual risk is considered unacceptable, further treatment is recommended.

The Audit Findings and risk assessment have been uploaded into the Shire's strategic planning and reporting software, Cascade. This allows individual actions to be allocated to Officers and progress tracked and reported on.

The Audit Plan is presented in Appendix 1. Upon request of the Committee and for clarity, only Findings that require further treatment are provided.

Officers are seeking recommendation from the ARIC to Council, to Accept the residual risk for the following completed item from the Audit Findings:

1. Untimely preparation and review of bank reconciliations

The following Findings require treatment to bring the risk to an acceptable level:

1. Non-compliance with depreciation policy
2. Monitoring of grants income and expenses
3. Plant recovery cost base rate and indirect/overhead cost allocation rate

Bank reconciliations remained a Significant item at the 2024/25 Interim Audit and was then sufficiently addressed to not be included as a Finding in the 2024/25 Final Audit. Reconciliations are up to date and the implementation of new software and ongoing monitoring will sufficiently treat the risk.

The 2025/26 Interim Audit was conducted on site from 11 to 15 May 2026. Initial feedback has been positive. Additional information has been provided to the auditors, upon request. The Interim Findings Report is to be provided at the next Ordinary Meeting of the Audit Risk and Improvement Committee.

## **OPTIONS**

The ARIC has the following options:

**Option 1:** The ARIC could choose to recommend to Council that it accepts the controls put in place and Residual Risk for one (1) Finding and notes no additional treatment is required.

**Option 2:** The ARIC could choose to recommend to Council that further treatment is required for all or a selection of the Findings.

Option 1 is the recommended option, with the acknowledgement that ongoing assessment and identification of opportunities for improvement will occur for those considered at an Acceptable risk level.

## **IMPLICATIONS TO CONSIDER**

### **Consultative**

Executive Leadership Team

Moore Australia

### **Strategic**

Council Plan 2025-2035

Pillar 5: Strong governance, responsive leadership

Community-informed, responsive leadership and strong governance.

### **Policy Related**

G17 Integrated Planning and Reporting - Planning

G19 Risk Assessment and Management

## Financial

There are no direct financial implications relating to the risk assessment of the Audit Findings.

## Legal and Statutory

Section 7.12A of the *Local Government Act 1995* is applicable and states:

### **“7.12A. Duties of local government with respect to audits**

- (1) *A local government is to do everything in its power to —*
  - (a) *assist the auditor of the local government to conduct an audit and carry out the auditor’s other duties under this Act in respect of the local government; and*
  - (b) *ensure that audits are conducted successfully and expeditiously.*
- (2) *Without limiting the generality of subsection (1), a local government is to meet with the auditor of the local government at least once in every year.*
- (3) *A local government must —*
  - (aa) *examine an audit report received by the local government; and*
  - (a) *determine if any matters raised by the audit report, require action to be taken by the local government; and*
  - (b) *ensure that appropriate action is taken in respect of those matters.*
- (4) *A local government must —*
  - (a) *prepare a report addressing any matters identified as significant by the auditor in the audit report, and stating what action the local government has taken or intends to take with respect to each of those matters; and*
  - (b) *give a copy of that report to the Minister within 3 months after the audit report is received by the local government.*
- (5) *Within 14 days after a local government gives a report to the Minister under subsection (4)(b), the CEO must publish a copy of the report on the local government’s official website.”*

The *Local Government (Audit) Regulations 1996* provides the legislative framework for the conduct of audits in local government and the role of the ARIC in considering the results of those audits.

## Risk Related

The remediation of audit findings reduces financial and reputational risk for the Shire.

## Workforce

The ongoing treatment of identified risks can be managed within current operational capacity.

## VOTING REQUIREMENTS

**Absolute Majority: No**

### **COMMITTEE RECOMMENDATION**

**Moved: Cr Chris Gibbs**

**Seconded: Cr Kevin Trent**

**That, with regard to the Update on the Findings Identified During Annual Financial Audits, the Audit, Risk and Improvement Committee recommends to Council that it:**

- 1. Accepts the action taken and residual risk for the following one (1) Finding:**
  - a. Untimely preparation and review of bank reconciliations**

- 2. Requests the Chief Executive Officer to report back on progress against the remaining three (3) Findings:**
- a. Non-compliance with depreciation policy**
  - b. Monitoring of grants income and expenses**
  - c. Plant recovery cost base rate and indirect/overhead cost allocation rate**
- to the Audit, Risk and Improvement Committee at its September 2026 meeting.**

**In Favour:** Crs Shona Zulsdorf, Sonia McKeiver, Chris Gibbs, Denese Smythe and Kevin Trent

**Against:** Nil

***CARRIED 5/0***



**AUDIT SNAPSHOT**  
03/06/2026

**AUDITS PLAN**

**AUDIT FINDINGS 2024/25**

Goal	Audit Rating	Prior Year?	Implication	Risk Assess...	Audit Recom...	Management...	Rate Added ...	Residual Ris...	Treatment	Comment	Completion
<b>Non-compliance with depreciation policy</b>	Moderate	No	The absence of depreciation on these assets may lead to misstated financial statements, inaccurate asset valuations, and non-compliance with the Shire's Depreciation Policy. This can result in significant accounting and governance issues, undermining the reliability of financial reporting and internal controls over fixed assets.	Risk Rating: <b>High</b>	We recommend that management review the depreciation rates of all assets to ensure they comply with the Shire's Depreciation Policy. Management should also implement a periodic review process to ensure consistent and accurate application of depreciation rates across all assets.	Officers note the misstatements and have committed to a comprehensive review of the depreciation rates in accordance with Shire policy and will ensure depreciation is processed appropriately for future financial years.	Adequate	Residual Consequence: Moderate  Residual Likelihood: Possible  Residual Risk Rating: <b>Moderate</b>	Treat	All assets are now being depreciated except those in progress (for example the new Swimming Pool), roads subgrade and septage ponds.  This information has been provided to auditors as part of the Interim Audit conducted in May 2026. Officers will seek to close this item if the finding is no longer identified within the Management Report.  Depreciation rates will now be scheduled for annual reviews.  <i>03/06/2026</i>  Senior Finance Officer to undertake review of depreciation rates in line with policy by 31 March 2026 <i>04/03/2026</i>	90% 90 / 100



Goal	Audit Rating	Prior Year?	Implication	Risk Assess...	Audit Recom...	Management...	Rate Added ...	Residual Ris...	Treatment	Comment	Completion
Plant recovery cost base rate and indirect/overhead cost allocation rate	Moderate	Yes	The use of outdated base rate for plant recovery cost and the application of indirect/overhead cost recovery rate increases the risk of the project/fixed assets costs being misstated.	Risk Rating: <b>High</b>	The Shire should review the base rate for plant recovery costs and the indirect/overhead cost recovery rate to determine their currency and accuracy.	This work has not been completed but assistance in ensuring a robust process has been sought via the contract with Moore Australia.	Inadequate	Residual Consequence: Moderate  Residual Likelihood: Unlikely  Residual Risk Rating: <b>Moderate</b>	Treat	Review of plant recovery costs to be completed as part of 2026/27 budget process.  <i>04/03/2026</i>  Overhead allocation has been reviewed for 2025/26, and minor adjustments made and appeared to be tracking well for 24/25.  Plant costings will be reviewed again as part of the 2026/27 budget process. Completion at 50% due to the need to review plant recovery costs.  <i>03/09/2025</i>	50% 50 / 100

**10 MOTIONS OF WHICH PREVIOUS NOTICE HAS BEEN GIVEN**

*Nil*

**11 QUESTIONS FROM MEMBERS WITHOUT NOTICE**

*Nil*

**12 BUSINESS OF AN URGENT NATURE INTRODUCED BY DECISION OF THE MEETING**

*Nil*

**13 CLOSURE**

The Presiding Member thanked everyone for their attendance and closed the meeting at 3.56 pm.