



SHIRE OF CARNARVON

# SCHEDULES

AUDIT AND RISK MANAGEMENT  
COMMITTEE MEETING

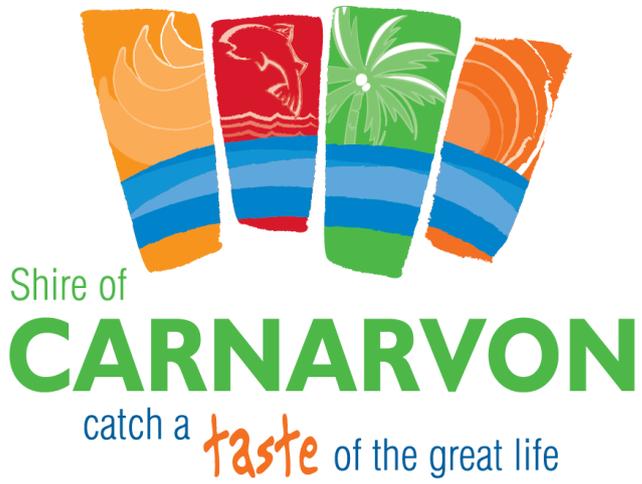
TUESDAY 17 FEBRUARY 2026



# Table of Contents

---

5.1	Governance and Compliance - Recordkeeping Plan RKP 2025020	
	Schedules 1	Amended Recordkeeping Plan (RKP) 2025020.....4
	Schedules 2	Approval RKP 2025020 .....32
5.2	Compliance Reports - Councillor Meeting Attendance	
	Schedules 1	Councillor Meeting Attendance Register - July 2025 to January 2026 .....34
5.3	Policy Review	
	Schedules 1	Policy Review Matrix .....35
5.4	Governance and Compliance - Internal Controls	
	Schedules 1	Compliance Calendar Internal Controls (Dec 2025 - Jan 2026).....37
5.5	Strategic Risk Register Review	
	Schedules 1	Strategic Risk Register 2025-26 Audit 2023 .....53
	Schedules 2	Strategic Risk Register 2025-26 Audit 2024 .....55
	Schedules 3	Strategic Risk Register 2025-26 Audit 2025 .....57
	Schedules 4	Strategic Risk Register 2025-26 Regulation 5 -2023 .....58
	Schedules 5	Strategic Risk Register 2025-26 Financial Department Review LG .....64
5.6	Carnarvon Aerodrome - Aerodrome Technical Inspection and Compliance Update	
	Schedules 1	Carnarvon Airport - August 2025 ATI Corrective Action Plan .....66



## RECORDKEEPING PLAN

RKP2025020

TABLE OF CONTENTS

Introduction ..... 4

1. Principle One: Proper and Adequate Records ..... 6

    1.1 Historical Background ..... 6

    1.2 Strategic Focus and Main Business Activity ..... 6

    1.3 Functions..... 7

    1.4 Major Stakeholders..... 7

    1.5 Enabling Legislation ..... 7

    1.6 Legislation Administered..... 7

    1.7 Other Significant Legislation ..... 7

    1.8 Major Government Policy and/or Industry Standards..... 7

2. Principle Two: Policies and Procedures..... 8

    2.1.1 Records Management Systems..... 8

    2.1.2 Business Information Systems ..... 8

3. Principle Three: Language Control ..... 10

    4.1.1 Onsite storage ..... 11

    4.1.2 Offsite storage ..... 11

        4.1.3 Data Centre & Cloud Storage ..... 11

        4.1.4 Storage of Archives ..... 12

        4.1.5 Storage of Backups..... 12

        4.1.6 Quantity of Records ..... 13

        4.1.7 Security and Access ..... 14

    4.3 Strategies in Place for Prevention and Response..... 14

        4.3.1 Vital Records Program ..... 14

        4.3.2 Back-up Procedures for Electronic Records..... 15

        4.3.3 Preservation of Electronic Records ..... 15

        4.3.4 Security..... 15

        4.3.5 Storage reviews..... 15

        4.3.6 Recovery of Lost Information ..... 15

5.1 General Retention and Disposal Authority for Local Government Records 16

5.5 Restricted Access Archives ..... 16

5.7 Non-transfer of Archives ..... 16

5.8 Retention and Disposal Program Implemented ..... 16

5.9 Authorisation for Disposal of Records ..... 16

6.1 Staff Training, Information Sessions, Publications ..... 17

6.2 Performance Indicators ..... 18

6.3 Recordkeeping Plan Compliance Reporting..... 18

7.1 Outsourced Functions Identified ..... 19

7.2 Recordkeeping Issues included in Contracts ..... 19

7.3 Identified Areas for Improvement..... 20

## Introduction

---

This document is presented to the State Records Commission in accordance with Section 28 of the State Records Act 2000 (the Act). Section 28 (5) of that Act requires that no more than 5 years must elapse between approval of a government organisation's Recordkeeping Plan and a review of it. The Shire of Carnarvon (the Shire) last reviewed its Recordkeeping Plan in March 2020 which was endorsed by the State Records Commission on 6 August 2020.

State Records Commission (SRC) Standard 1 – Government Recordkeeping requires that government organisations ensure that records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by the SRC. SRC Standard 2 – Recordkeeping Plans comprises six recordkeeping principles each of which contains minimum compliance requirements.

The purpose of this *Recordkeeping Plan* is to set out the matters about which records are to be created by the Shire and how it is to keep its records. The Recordkeeping Plan is to provide an accurate reflection of the recordkeeping program within the organisation, including information regarding the organisation's recordkeeping system(s), disposal arrangements, policies, practices and processes. The Recordkeeping Plan is the primary means of providing evidence of compliance with the Act and the implementation of best practice recordkeeping within the organisation.

### **The objectives of the Shire's Recordkeeping Plan are to ensure:**

- Compliance with Section 28 of the *State Records Act 2000*;
- Recordkeeping within the Local Government is moving towards compliance with State Records Commission Standards and Records Management Standard AS ISO 15489
- Processes are in place to facilitate the complete and accurate record of business transactions and decisions
- Recorded information can be retrieved quickly, accurately and cheaply when required
- Protection and preservation of the Local Government's records.

### The Shire's Recordkeeping Plan must set out:

- Those records that will be State Archives
- Those state Archives that will be restricted access archives and the ages at which the will cease to be restricted access archives
- The retention period for records that are not State Archives
- The systems to ensure the security of the records and compliance with the *Recordkeeping Plan*

### The Shire's Recordkeeping Plan will also set out:

- The manner in which records will be created
- For a record to be reproduced in another form
- The destruction of a record, including duplicate copies

This Recordkeeping Plan applies to all the Shire of Carnarvon's:

- Employees
- Contractors
- Organisations performing outsourced services on behalf of the Shire of Carnarvon
- Elected Members.

**NOTE: The policy approach of the State Records Commission in monitoring the recordkeeping obligations in respect to Local Government elected members is:**

*“In relation to the recordkeeping requirements of Local Government elected members, records must be created and kept which properly and adequately record the performance of member functions arising from their participation in the decision-making processes of Council and Committees of Council.*

*This requirement should be met through the creation and retention of records of meetings of Council and Committees of Council of local government and other communications and transactions of elected members which constitute evidence affecting the accountability of the council and the discharge of its business.*

*Local Governments must ensure that appropriate practices are established to facilitate the ease of capture and management of elected members records up to and including the decision-making processes of Council”*

This Recordkeeping Plan supersedes RKP2020006 and applies to all records created or received by any of the above parties, regardless of:

- Physical format
- Storage location
- Date created.

For the purposes of this RKP, a record is defined as meaning “any record of information however recorded” and includes:

- (a) anything on which there is writing or Braille;
- (b) a map, plan, diagram or graph;
- (c) a drawing, pictorial or graphic work, or photograph;
- (d) anything on which there are figures marks, perforations, or symbols, having meaning for persons qualified to interpret them;
- (e) anything from which images, sounds, or writings can be reproduced with or without the aid of anything else; and
- (f) Anything on which information has been stored or recorded, either mechanically, magnetically, or electronically.

*(State Records Act, 2000)*

## 1. Principle One: Proper and Adequate Records

---

*Government organisations ensure that records are created and kept which properly and adequately record the performance of the organisation's functions and which are consistent with any written law to which the organisation is subject when performing its functions.*

### 1.1 Historical Background

The Shire of Carnarvon is in the Gascoyne Region of the State of Western Australia located 902 kms north of Perth. The Shire of Carnarvon sits 4m above sea level and is positioned on the edges of WA's Coral Coast, its boundaries meet the Shire of Shark Bay to the South, Shire of Upper Gascoyne to the East and Shire of Exmouth to the North.

The Gascoyne Region was first surveyed and explored by British rule by Lt George Grey in 1839. After many explorations and investigations, the Gascoyne area was settled in the 1870's. Livestock trade was the main industry, however it did not take long to create a diverse array of industries included pastoralists and graziers, horticulture, whaling and fishing. The Gascoyne Road Board was formed in 1882 and Carnarvon was gazetted as a townsite in 1883. The Lower Gascoyne and Minilya Road Boards were amalgamated to form the Gascoyne Minilya Road in 1911 which changed to the Gascoyne Minilya Shire in 1961. The Town of Carnarvon and the Gascoyne Minilya Shire amalgamated in 1965 to form the Shire of Carnarvon.

Carnarvon's unique location makes it a tropical oasis on the west coast and is home to a vibrant and diverse community with a population census of approximately 4,600. It is recognised for its plantations, seafood and warm climate, come to Carnarvon to '*Catch a taste of the Great Life*'

### 1.2 Strategic Focus and Main Business Activity

The Shire of Carnarvon's strategic direction is articulated through the Strategic Community Plan (2022-2032) and Big Ideas framework.

#### Values

Excellence, Authenticity, Courage, Passion, Cohesion, Humility, Respect & Inclusion

#### Vision

We grow our horizons – Carnarvon will be a place where:

- Our community is safe and harmonious
- Our livelihoods are thriving
- Our lifestyles are sustainable
- Our health and learning opportunities serve our communities

- Our places nurture past, present and future
- Our community engaged, inclusive and supportive

### Main Business Activities

The main business activities for the Shire of Carnarvon are governance and financial administration, roads, facilities and maintenance, parks and gardens, footpaths, waste management, municipal law enforcement, airport operations, youth and community services, recreation and culture including library services, gallery space, civic theatre.

## 1.3 Functions

See Appendix 1 for the full list of functions

## 1.4 Major Stakeholders

The Shire of Carnarvon consists of many customer and stakeholder groups such as ratepayers, residents, workers, visitors, landowners and developers, business owners, pastoralists, not-for-profit organisations, community groups, sporting clubs, health organisations, education providers, service providers, government departments and agencies, politicians, industry bodies and the media.

## 1.5 Enabling Legislation

The Shire of Carnarvon is established under the Local Government Act 1995 – an Act to provide for a system of local government in Western Australia.

## 1.6 Legislation Administered

See Appendix 2 for the full list of legislation

## 1.7 Other Significant Legislation

See Appendix 3 for the full list of legislation

## 1.8 Major Government Policy and/or Industry Standards

### Standards and codes of Practice

See Appendix 4 for the full list of policies

## 2. Principle Two: Policies and Procedures

---

*Principle: Government organisations ensure that recordkeeping programs are supported by Policy and procedures.*

### 2.1 Records Management and Business Information Systems

#### 2.1.1 Records Management Systems

In accordance with the *Local Government Act 1995*, the Chief Executive Officer is to ensure that records and documents of the local government are properly kept for the purposes of the *Local Government Act 1995* and any other written law. The Shire of Carnarvon utilizes an Electronic Document Records Management System (eDRMS) - SynergySoft Central Records module for records management, operation alongside the Keywords for Council Classification Thesaurus as a business classification template. The records are held in a hybrid system with documents in paper and/or electronic format. Responsibility is assigned to all employees for the classifying, indexing and registration of documents they create in the performance of their role. Metadata is attached to each record, which assists in retrieval in accordance with recordkeeping principles.

#### 2.1.2 Business Information Systems

**Synergy Soft modules** – Central Records (eDRMS), financial management systems; rates; infringements and licensing systems, hard copy documents are retained and disposed in accordance with GDALG.

Other Business information system used by the Shire are:

- **Microsoft Licensed software** - including Outlook Easy Records which has an interface with SynergySoft that enables direct recording of emails into eDRMS.
- **SirsiDymix Symphony** – Integrated Library system (ILS); acquisitions (ordering, receiving, invoicing materials); cataloguing (classifying/indexing materials); circulation (lending/returning materials); online public user interface and a membership database.
- **Definitiv** – HR and payroll software
- **Attain** – Compliance & Returns Software for use by staff and elected members
- **MEX** – Computerised Maintenance Management System (CMMS) captures Asset information, manages service requests, monitors day to day maintenance workloads, schedules maintenance, inspections and reports.
- **Coeee** – software used for Waste Facility; controls payments and waste data collection;
- **HR Partner** – which maintains employee recruitment, contracts and documents;
- **AVCRM** – Airport Management software – helps with the daily running of the Carnarvon Airport – relevant *significant* documents added to EDRMS for retention & disposal;

Shire of Carnarvon Recordkeeping Policy - Appendix 5

Corporate Records Management Procedure – Appendix 6

## 2.2 Records Management Policy and Procedures

The creation and management of records is coordinated by the Shire of Carnarvon's Governance & Information Management Coordinator.

<b>Recordkeeping Activities covered in the Shire of Carnarvon For Policies and Procedures – see Appendix 5 &amp; 6</b>	<b>YES</b>	<b>NO</b>
<b>Correspondence capture and control</b> – Mail is collected from the Post Office daily; the documents are sorted recorded and (where relevant) distributed to Officers using SynergySoft (eDRMS) Incoming Mail addressed to Elected Members is unopened for collection. Elected Members forward any correspondence relating to Shire business to the SEO for capture into SynergySoft.	✓	
<b>Mail distribution</b> – Mail is opened by the Customer Service Officer. Ephemeral Records are distributed to the relevant Officers. Mail requiring registration is scanned into SynergySoft and emailed to the relevant Officer for action. The hard copy records are then filed.	✓	
<b>File creation and closure</b> – Files are created upon request from Staff by the Governance & Information Coordinator who adds the new title to the File Plan. Files are closed when a new volume is required, or a matter is determined to be closed.	✓	
<b>Access to corporate records</b> – Security settings within the eDRMS are used to ensure security of electronic Corporate records, all other Vital Records are held in the Safe/Strong Room with access limited to relevant Staff only.	✓	
<b>Authorised disposal of temporary records and transfer of State archives to the State Records Office (SRO)</b> – The Governance & Information Coordinator completes a Records Destruction Authorization Form, which is then authorized by the CEO. A regular disposal program is in place.	✓	

<b>Electronic records management</b> – The Shire of Carnarvon uses SynergySoft Central Records (EDRMS) and Microsoft Outlook 'Add-ins' for the capture and management of its electronic records.	✓	
<b>Email management</b> – The Shire of Carnarvon uses SynergySoft interface with Microsoft Outlook 'Add-ins' for the capture and management of its emails. Emails received and sent by Staff members that have continuing value to Shire are recorded and are the responsibility of the individual staff member.	✓	
<b>Website management</b> – Internal procedures are in place for the ongoing management and maintenance of the Shire website. Communications Officers upload changes to the Shire's website; these are captured and recorded in Synergy EDRMS	✓	
<b>Metadata management</b> – the capture and control of metadata is maintained within individual records in the eDRMS system.	✓	
<b>System/s management</b> – SynergySoft is used by the Shire for its finance, accounting and administration requirements (which includes Records Management. The controls in place to manage	✓	

access include but not limited to; passwords, users IDs and restricted access status.		
<b>Migration strategy</b> – The Shire has strategies in place for any future migration of corporate records; Responsible Officer should develop specific strategy prior to the implementation of new system.	✓	

Access to the Shire’s records by the general public will be in accordance with the *Freedom of Information Act 1992* or other written laws.

Access to the Shire’s records by the Elected Members will be via the Chief Executive Officer in accordance with Section 5.92 of the *Local Government Act 1995*.

### 2.3 Certification of Policies and Procedures

The Shire’s revised Records Management Policy was endorsed by Council June 2025. All staff with access to the Shire’s electronic systems receive a full induction on their recordkeeping responsibilities and procedural training in their work area. Refer to Appendix 5

### 2.4 Evaluation of Policies and Procedures

The recordkeeping policies and procedures for the Shire of Carnarvon cover all categories identified in Principle 2 of SRC Standard 2 and are assessed as operating efficiently and effectively across the Shire of Carnarvon.

## 3. Principle Three: Language Control

---

*Principle: Government organisations ensure that appropriate controls are in place to identify and name government records.*

### 3.1 Keyword for Councils Thesaurus Implemented

The Shire of Carnarvon has adopted and implemented the Keyword for Councils thesaurus for the titling of its records.

Any other documents are maintained in their appropriate Business Information Systems and hardcopy file systems.

### 3.4 Assessment of its effectiveness

The Keywords for Council Thesaurus operates well within the Shire of Carnarvon. It covers both administrative and functional activities of the Shire of Carnarvon; it is available for use by all staff and information can be filed and found without difficulty. This tool will be adjusted to reflect changes to the functions and activities of the Shire as may occur from time to time.

## 4. Principle Three: Preservation

---

*Principle: Government organisations ensure that records are protected and preserved*

### 4.1 Assessment of the Risks

#### 4.1.1 Onsite storage

The Shire has its current active records located onsite at the Shire Main Administration Office, 3 Francis Street, Carnarvon. The storage facility includes:

- *Metal shelving,*
- *Fire retardant safe,*
- *Secure premises,*
- *Secure server rooms,*
- *Fire detection system/or fire suppression system, and*
- *Airconditioning for 24 hours per day*

The main disaster threatening records stored onsite comes from fire and cyclones. With the storage conditions as described the risk is assessed as **low**.

#### 4.1.2 Offsite storage

The Shire of Carnarvon has located non-current, inactive records and archival records collection in a storage facility adjacent to the Main Administration building, in De Boni Street. This building is single story and of double brick construction, the windows are protected by “Crim Safe” coverings, window blinds and an air conditioner has been installed.

- *Security of premises / facility – accessible only by designated staff;*
- *Crim safe coverings on windows*
- *Type of shelving - metal.*

The main disaster threatening records stored at the records storage facility comes from fire and cyclones.

With the offsite storage condition as described, the risk is assessed as **medium**.

#### 4.1.3 Data Centre & Cloud Storage

The Shire has entered into an arrangement with [a] third party to store electronic data/digital information and records in data centres/cloud storage facility as detailed in the table and further information listed below. The arrangement includes provisions for security and access; preservation; and return of the data.

A risk assessment was undertaken prior to the commencement of the data storage arrangement.

Information system / categories of records	Name of service provider	Geographic location of data centre / cloud storage	Geographic location of data centre / cloud storage backups	Risk assessed Y/N
ADS-01	Market Creations/ICT	Geraldton	Geraldton	Y
DCs	Market Creations/ICT	Geraldton	Geraldton	Y
GIS	Market Creations/ICT	Geraldton	Geraldton	Y
Altus	Market Creations/ICT	Geraldton	Geraldton	Y

#### 4.1.4 Storage of Archives

The Shire of Carnarvon has located its non-current, inactive, archival records and State archives awaiting transfer to the State Archives Collection in an adjacent storage facility in Rushton Street, Carnarvon. This office is on the first and only floor and of double brick construction. The area is secure, with limited and controlled staff access. The exteriors of the windows are protected by “Crim Safe’ coverings, new blinds and an air-conditioning unit have recently been installed. The archived files are in archival quality boxes, supported by metal cabinets and shelves. State Archives are identified in accordance with the Local Government Retention and Disposal Authority (GRDALG) are maintained in accordance with the Directions for keeping State archives awaiting transfer to the State Archives Collection.

#### 4.1.5 Storage of Backups

Electronic backups of the Shires electronic information are held *offsite* at Geraldton and are updated on a daily basis.

The Shire currently utilises a multi-tiered backup and disaster recovery strategy, combining onsite, off (cloud backup), and cloud based VM replication to protect critical infrastructure and services.

- Storage: All onsite backups are stored on a NAS appliance located within the Shire’s network.
- Security: These backups are not encrypted. Protection relies solely on password access to the NAS and Veeam server.
- Veeam Server: The existing Veeam backup server is domain joined. A new, non-domain joined server is being provisioned to align with Veeam Best Practices and enhance protection against domain-compromised attacks.

#### Onsite backup Jobs:

Job name	Frequency & Schedule	Retention Policy	VMs Included

<b>Hourly Backup VMS</b>	Hourly (Sun-Fri, 7am-7pm), Full on Sat 7pm	90 days	SOC1-PAW-SYN01, Altus, SOC1-PFW-FS01
<b>Daily Server Backup</b>	Hourly (Sun-Fri, 7:15pm), Full on Sat 7:15pm	30 days	All core servers (ADS-01, DCs, GIS, PWF)
<b>Internal Monthly Backups</b>	1 <sup>st</sup> of each month, 10pm	12X monthly restore Points	ADS-01, DC1, GIS, PWF, SAS

Onsite backup Jobs:

<b>Job name</b>	<b>Schedule &amp; Retention</b>	<b>VMs Included</b>
Backup Copy	Continuous (post-daily job) – 7 days retention	All critical VMs (ADS-01, Altus, DCs, GIS)
Configuration Backup	Daily at 10am – 10 days retention	VBR, SOC1-PMW-BCK01

Offsite Cloud Backups (Cloud Connect)

- Storage Platform: Integrated ICT’s Cloud Connect Platform.
- Encryption: Data is encrypted in transit, but not at rest. However, encryption at rest can be enabled at the job level if required (note: may slightly increase storage usage).
- Tamper Protection: The Cloud Connect backup has 1x Day Hidden Backup enabled — this acts as a safeguard against malicious or accidental deletion. Only Integrated ICT has access to these hidden restore points.

Offsite Cloud Replication

- Purpose: Provides an additional disaster recovery layer by replicating key VMs offsite.
- Schedule: Daily replication at 12:05am from the existing backup copy data.
- Retention: 4x replicas currently retained (under review for potential change).
- Platform: Hosted on Integrated ICT’s Cloud Connect infrastructure.
- Replicated VMs Include: ADS-01, Altus, DC1, DC2, GIS, PWF, SAS, SOC1-PAW-SYN01, SOC1-PRW-RD01, SOC1-PFW-FS01

4.1.6 Quantity of Records

The Shire of Carnarvon holds:

- 150 linear metres of temporary records stored onsite and offsite;
- 70 linear metres of State archives stored onsite and offsite;

#### 4.1.7 Security and Access

The following security measures are in place at the Shire of Carnarvon to ensure the security of its records, both hard copy and electronic. Access is restricted to authorised members:

- Hard copy records are stored in a secure room accessible only to the Governance & Information Coordinator and authorised champions.
- The loans and returns module in Synergy Soft is used to manage movement of files.
- Records in the EDRMS have varying degrees of access depending on delegations assigned to staff within the organization.
- Electronic records are backed up on a regular basis as described above.
- Server rooms have electronic locks and are accessible by authorised staff only

#### 4.2 Assessment of the Impacts of Disasters

The risk of disaster occurring to the Shire's records has been assessed overall as being low, impact of a disaster on the organization's records has therefore, been assessed as low. There are strategies in place to ensure that business activities of the organization are not unduly affected in the event of a disaster occurring.

#### 4.3 Strategies in Place for Prevention and Response

The Shire currently utilises a multi-tiered backup and disaster recovery strategy, combining onsite, off (cloud backup), and cloud based VM replication to protect critical infrastructure and services.

##### 4.3.1 Vital Records Program

Vital hard copy records hard copy are stored in a locked, fire-resistant strong room/safe, only accessible to authorised staff. These records are identified as:

- Council Minute/Agenda Books
- Certificates of Title Deeds
- Signed Agreements
- Restrictive Covenants & Caveats
- Contracts/Tenders and Expression of Interest Register
- Burial/Grave & Cemetery Records
- Reserve Management Orders
- Lease Documents.
- Bank Guarantees

Where practical, these records have been copied and/or scanned and digital copies are placed on the relevant files and are used for all normal business activities.

#### 4.3.2 Back-up Procedures for Electronic Records

The Shire currently utilizes a multi-tiered back up and disaster recovery strategy, combining onsite, offsite (cloud backup), and cloud-based VM replication to protect critical infrastructure and services

#### 4.3.3 Preservation of Electronic Records

Electronic records requiring long term retention are maintained in an appropriate format for long term preservation & any future migration.

#### 4.3.4 Security

As previously described, security measures have been implemented by the Shire of Carnarvon to prevent unauthorized access to corporate records:

- Hard copy records stored onsite and offsite are accessible only to authorized staff
- Electronic records have varying degrees of access depending on delegations assigned to staff within the organization and are backed up on a regular basis
- Access to server rooms is restricted by electronic locks to authorized staff only.

#### 4.3.5 Storage reviews

The onsite and offsite facilities utilized by the Shire are reviewed annually to ensure that conditions are appropriate for storage of the organization's records.

#### 4.3.6 Recovery of Lost Information

Shire has quick response strategies to recover lost information, should a disaster occur.

- Records Disaster Management Plan – refer to Appendix 7
- Business Continuity Plan (Market Creations – IT providers)

If a breakdown of the storage facility occurs, electronic copies of the hardcopy files can be obtained from the Shire's EDRMS and network files.

## 5. Principle Five: Retention and Disposal

---

*Principle: Government organisations ensure that records are retained and disposed of in accordance with an approved disposal authority.*

### 5.1 General Retention and Disposal Authority for Local Government Records

The Shire of Carnarvon utilises the General Retention and Disposal Authority for Local Government Records (GRDALG), produced by the State Records Office, for the retention and disposal of its records.

### 5.3 Existing Ad Hoc Disposal Authorities

The Shire of Carnarvon does not have any Ad Hoc Disposal Authorities

### 5.4 Existing Disposal Lists

The Shire of Carnarvon does not have any Approved Disposal Lists.

### 5.5 Restricted Access Archives

The Shire of Carnarvon does not have any State archives to which it intends to restrict access when they are transferred to the SRO.

### 5.6 Transfer of Archives

An Archives Transfer Request form has not been submitted to the SRO.

The Shire of Carnarvon will transfer State archives to the State Archives Collection for permanent preservation when requested by the SRO.

### 5.7 Non-transfer of Archives

The Shire of Carnarvon has not identified any State archives that will not be transferred to SRO for permanent preservation.

### 5.8 Retention and Disposal Program Implemented

The Shire of Carnarvon has implemented the General Retention and Disposal Authority for Local Government Records (GRDALG) and now conducts a regular retention and disposal program on a bi-annual basis. Refer to Corporate Records Management Procedure Appendix 6

### 5.9 Authorisation for Disposal of Records

Before any temporary records are destroyed or State archives are transferred to the SRO a list of those records is reviewed and authorised for destruction or archiving by the Chief Executive Officer and authorised for transfer or destruction.

## 6. Principle Six: Compliance

*Principle: Government organisations ensure their employees comply with the record keeping plan.*

### 6.1 Staff Training, Information Sessions, Publications

The Shire of Carnarvon has implemented the following activities to ensure that all staff are aware of their recordkeeping responsibilities and ensure compliance with the Shire’s Recordkeeping Plan:

Activities to ensure staff awareness and compliance	YES	NO
Presentations on various aspects of the Local Government’s recordkeeping program are conducted. These are delivered to all staff on a regular basis.	✓	
In-house recordkeeping training sessions for staff are conducted.	✓	
From time to time an external consultant is brought in to run a recordkeeping training session for staff. Staff are also encouraged to attend training courses outside the organization whenever practicable.	✓	
Staff information sessions are conducted on an on-going basis for staff as required.	✓	
The Shire of Carnarvon provides a Corporate Records Management Procedure & SynergySoft User Quick Guide in order that staff have access to recordkeeping information and responsibilities. These are periodically reviewed and any changes or updates to recordkeeping matters are brought to staff for attention Refer to Appendix 6 & 10	✓	
The Shire of Carnarvon Intranet is used to publish recordkeeping information, highlight issues, or bring recordkeeping matters to staff attention and is available to all staff	✓	
The Shire of Carnarvon Induction Program for new employees and Elected Members includes an introduction to the organization’s recordkeeping system and program, and information on their recordkeeping responsibilities. Refer to Appendix 9 & 11	✓	

The training/information sessions as detailed below extend to all staff. However, Records Management staff offer more frequent and/or specialised training where required.

#### Records Management Induction Program

All new employees undertake Induction training which includes information on their recordkeeping responsibilities and introduction to the organization’s recordkeeping systems.

Records training includes:

- Induction to Record

- Recording in EDRMS training\*
- Searching in EDRMS training\*

\*EDRMS system based one on one sessions with handouts and examples of relevant officers work which average 1-2 hours and a follow up session to revisit training where necessary.

Employees and Elected Members are also provided with relevant Information Sheets issued by the State Records Office – *Recordkeeping Responsibilities and You – March 2017* & *Local Government Elected Members' Records – October 2019*

### Ongoing Recordkeeping and Awareness Training

In-house recordkeeping training sessions for staff are conducted, in order that staff have awareness of their record-keeping responsibilities. These are periodically reviewed for any changes or updates, these include:

- Functional Classification Training
- Keywords Classification Training
- Names & Address Training\*
- Customer Service Request Training\*

## 6.2 Performance Indicators

The Governance & Information Coordinator undertakes comprehensive reviews of the Shire of Carnarvon's Recordkeeping systems to check compliance with its Recordkeeping Plan. Audits are conducted to measure the effectiveness and efficiency of the Recordkeeping systems.

## 6.3 Recordkeeping Plan Compliance Reporting

On the basis of survey of staff and information retrieval response times, the record keeping systems are assessed as being efficient and effective within the organisation.

## 6.4 Annual Report

An excerpt from the Shire's latest Annual Report is attached, demonstrating the organisation's compliance with the State Records Act 2000, its Recordkeeping Plan and the training provided for staff. Refer to Extract from Annual Report 2023-24 - Appendix 8

## 7. SRC Standard 6: Outsourced Functions

---

The purpose of this standard established under Section 61(1)(b) of the State Records Act 2000 is to define principles and standards governing contracts or arrangements entered into by LG's; with persons to perform any aspect of recordkeeping for that organisation. Clauses to address these recordkeeping requirements are included in all contracts which are subject to the provision of this plan.

State organizations may enter into contracts or other arrangements whereby an individual or an organization is to perform a function or service for the State organization, or act as the State organization's agent to deliver services to clients, or for the State organization's own use. The general term 'outsourcing' is used for such arrangements.

Contractual arrangements should provide that the contractor create and maintain records that meet the State organization's legislative, business and accountability requirements.

### 7.1 Outsourced Functions Identified

Refer to Appendix 1 for those functions outsourced.

### 7.2 Recordkeeping Issues included in Contracts

#### 7.2.1 Planning

The Shire of Carnarvon includes the creation and management of proper and adequate records of the performance of the outsourced functions (refer to Appendix 1) above, in the Contract planning process for the outsourced functions. Shire of Carnarvon Code of Conduct is provided to all Contractor(s) / Agent(s). The Supplier will comply with the Shire's Recordkeeping Plan, including the policies and procedures developed to manage their corporate records.

#### 7.2.2 Ownership

The Shire of Carnarvon will ensure that the ownership of Local Government records is addressed and resolved during outsourcing exercises. Where possible this is included in the signed Contract(s) / Agreement(s).

#### 7.2.3 Control

The Shire of Carnarvon ensures that the Contractor(s) / Agent(s) create, and control records in electronic or hard copy format, in accordance with record keeping standards, policies, procedures and guidelines stipulated by the Shire of Carnarvon. The Supplier will comply with the Shire's Recordkeeping Plan, including the policies and procedures developed to manage their corporate records.

#### 7.2.4 Disposal

The disposal of all Local Government records which are the product of or are involved in any Contract(s) / Agreement(s) with the Shire of Carnarvon and Contractor(s) / Agent(s) will be disposed of in accordance with the General Disposal Authority for Local Government Records, produced by the State Records Office. The Records Officer is responsible for the destruction of records.

**7.2.5 Access**

Conditions for the provision of access to any Local Government records produced in the course of the Contract(s) / Agreement(s) have been agreed between the Shire of Carnarvon and the Contractor(s) / Agent(s).

**7.2.6 Custody**

Custody arrangements between the Shire of Carnarvon and the Contractor(s) / Agent(s) for Local Government records stored on and off site by the Contractor(s) / Agent(s) will be specified in the Contract(s) / Agreement(s). The Suppliers must create and maintain appropriate evidence of the function they are performing on behalf of the Shire.

**7.2.7 Contract Completion**

All arrangements regarding record custody, ownership, disposal and transfer upon the completion of the Contract(s) / Agreement(s) are specified in the Contract(s) / Agreement(s). On expiry or earlier termination of this Agreement, the Supplier will either return all such Records in accordance with the Shire’s directions or destroy them in accordance with the Shire’s Recordkeeping Plan.

**7.3 Identified Areas for Improvement**

Ongoing review/update of Contractor Recordkeeping Responsibilities and Practises

<b>APPENDIX 1</b>			
<b>Functions of the Local Government</b>			
<b>Function</b>	<b>Brief Description of LG Function</b>	<b>Performed by the LG</b>	<b>Performed by an External Agency</b>
		<i>Tick</i> Yes	<i>Tick</i> Yes
Commercial Activities	The function of competing commercially or providing services to other local governments or agencies on a fee for service basis. Includes undertaking activities on a consultancy or contract basis.	✓	
Community Relations	The function of establishing rapport with the community and raising and advancing the Council’s public image and its relationships with outside bodies, including the media and the public.	✓	

<b>APPENDIX 1</b>			
<b>Functions of the Local Government</b>			
<b>Function</b>	<b>Brief Description of LG Function</b>	<b>Performed by the LG</b>	<b>Performed by an External Agency</b>
		<b>Tick Yes</b>	<b>Tick Yes</b>
Community Services	The function of providing, operating or contracting services to assist local residents and the community.	✓	
Corporate Management	The function of applying broad systematic planning to define the corporate mission and determine methods of the LG's operation.	✓	
Council Properties	The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the LG.	✓	
Customer Service	The function of planning, monitoring and evaluating services provided to customers by the Council.	✓	
Development & Building Controls	The function of regulating and approving building and development applications for specific properties, buildings, fences, signs, antennae, etc. covered by the Building Code of Australia and the Environment Protection Authority (EPA).	✓	
Economic Development	The function of improving the local economy through encouragement of industry, employment, tourism, regional development and trade.	✓	
Emergency Services	The function of preventing loss and minimising threats to life, property and the natural environment, from fire and other emergency situations.	✓	✓
Financial Management	The function of managing the LG's financial resources.	✓	✓
Governance	The function of managing the election of Council representatives, the boundaries of the LG, and the terms and conditions for Elected Members.	✓	✓
Government Relations	The function of managing the relationship between the Council and other governments, particularly on issues which are not related to normal Council business such as Land Use and Planning or Environment Management.	✓	
Grants & Subsidies	The function of managing financial payments to the LG from the State and Federal Governments and other agencies for specific purposes.	✓	
Information Management	The function of managing the LG's information resources, including the storage, retrieval, archives, processing and communications of all information in any format.	✓	
Information Technology	The function of acquiring and managing communications and information technology and databases to support the business operations of the LG.	✓	
Land Use & Planning	The function of establishing a medium to long term policy framework for the management of the natural and built environments.	✓	
Laws & Enforcement	The function of regulating, notifying, prosecuting, and applying penalties in relation to the Council's regulatory role.	✓	✓

<b>APPENDIX 1</b>			
<b>Functions of the Local Government</b>			
<b>Function</b>	<b>Brief Description of LG Function</b>	<b>Performed by the LG</b>	<b>Performed by an External Agency</b>
		<b>Tick Yes</b>	<b>Tick Yes</b>
Legal Services	The function of providing legal services to the LG.		✓
Parks & Reserves	The function of acquiring, managing, designing and constructing parks and reserves, either owned or controlled and managed by the LG.	✓	✓
Personnel	The function of managing the conditions of employment and administration of personnel at the LG, including consultants and volunteers.	✓	✓
Plant, Equipment & Stores	The function of managing the purchase, hire or leasing of all plant and vehicles, and other equipment. Includes the management of the LG's stores. Does not include the acquisition of information technology and telecommunications.	✓	
Public Health	The function of managing, monitoring and regulating activities to protect and improve public health under the terms of the Public Health Act, health codes, standards and regulations.	✓	
Rates & Valuations	The function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges.	✓	
Recreation & Cultural Services	The function of LG in arranging, promoting or encouraging programs and events in visual arts, craft, music, performing arts, sports and recreation, cultural activities and services.	✓	
Risk Management	The function of managing and reducing the risk of loss of LG properties and equipment and risks to personnel.	✓	✓
Roads	The provision of road construction and maintenance of rural roads and associated urban street services to property owners within the LG area. Portion of plant hire to satisfy this function is outsourced.	✓	✓
Sewerage & Drainage	The function of designing and constructing, maintaining and managing the liquid waste system, including drainage, sewerage collection and treatment, stormwater and flood mitigation works.	✓	✓
Traffic & Transport	The function of planning for transport infrastructure and the efficient movement and parking of traffic. Encompasses all service/facilities above the road surface and includes all forms of public transport.	✓	✓
Waste Management	The function of providing services by the LG to its constituents for the removal of solid waste, destruction and waste reduction. The function of refuse retrieval and refuse site maintenance is conducted in-house. Pick up of Commercial Bulk bins is outsourced.	✓	✓
Water Supply	The function of managing the design, construction, maintenance and management of water supplies, either by the LG or by service providers (independent of scheme only).	✓	✓

<b>APPENDIX 2</b>
<b>Legislation and Regulations administered, wholly or in part, by the Shire of Carnarvon, or affecting the Shire's functions and operations; and Local Laws of the Shire</b>
Aboriginal Heritage Act 1972
Aboriginal Heritage Regulations 1974
Agriculture & Related Resources Protection Act 1976
Agriculture & Related Resources Protection Regulations 2011
Building Act 2011
Building Regulations 2012
Building & Construction Industry Training Levy Act 1990
Building & Construction Industry Training Fund & Levy Collection Act 1990
Building Services (Registration) Act 2011
Building Services Levy Act 2011
Bush Fires Act 1954
Bush Fires (Infringements) Regulations 1978
Bush Fire Regulations 1954
Caravan Parks & Camping Grounds Act 1995
Caravan Parks & Camping Grounds Regulations 1997
Cat Act 2011
Cat (Uniform Local Provisions) Regulations 2013
Cat Regulations 2012
Cemeteries Act 1986
Commercial Tenancy (Retail Shops) Agreements Act 1985
Commercial Tenancy (Retail Shops) Agreement Regulations 1985
Conservation & Land Management Act 1984
Conservation & Land Management Regulations 2002
Construction Camp Regulations
Contaminated Sites Act 2003
Contaminated Sites Regulations 2006
Control of Vehicles (Off Road Areas) Act 1978
Criminal Code Act Compilation Act 1913
Dangerous Goods Safety Act 2004
Dangerous Goods Safety (General) Regulations 2007
Disability Services Act 1993
Disability Services Regulations 2004
Dividing Fences Act 1961
Dog Act 1976

<b>APPENDIX 2</b>
<b>Legislation and Regulations administered, wholly or in part, by the Shire of Carnarvon, or affecting the Shire's functions and operations; and Local Laws of the Shire</b>
Dog Regulations 2013
Electronic Transactions Act 2011
Electronic Transactions Regulations 2012
Emergency Management Act 2005
Emergency Management Regulations 2006
Emergency Services Levy Act 2002
Environmental Protection Act 1986
Environmental Protection (Controlled Waste) Regulations 2004
Environmental Protection (Noise) Regulations 1997
Environmental Protection (Rural Landfill) Regulations 2002
Environmental Protection Regulations 1987
Environmental Protection (Unauthorised Discharges) Regulations 2004
Equal Opportunity Act 1984
Equal Opportunity Regulations 1986
Evidence Act 1906
Explosive and Dangerous Goods Act 1961
Food Act 2008
Food Regulations 2009
Fire & Emergency Services Act 1998
Fire & Emergency Services Regulations 1998
Freedom of Information Act 1992
Freedom of Information Regulations 1993
Hairdressing Establishment Regulations 1972
Health Act 1911
Health Act (ANZ Food Standards Code Adoption) Regulations 2001
Health Act (Carbon Monoxide) Regulations 1975
Health Act (Laundries and Bathrooms) Regulations
Health (Air-Handling and Water Systems) Regulations 1994
Health (Aquatic Facilities) Regulations 2007
Health (Asbestos) Regulations 1992
Health (Cloth Materials) Regulations 1985
Health (Garden Soil) Regulations 1998
Health (Offensive Trades Fees) Regulations 1976

<b>APPENDIX 2</b>
<b>Legislation and Regulations administered, wholly or in part, by the Shire of Carnarvon, or affecting the Shire's functions and operations; and Local Laws of the Shire</b>
Health (Pesticides) Regulations 2011
Health (Pet Meat) Regulations 1990
Health (Poultry Manure) Regulations 2001
Health (Public Buildings) Regulations 1992
Health (Skin Penetration Procedure) Regulations 1998
Health (Temporary Sanitary Conveniences) Regulations 1997
Health (Treatment of Sewerage and Disposal of Effluent and Liquid Waste) Regulations 1974
Heritage of Western Australia Act 1990
Heritage of Western Australia Regulations 1991
Industrial Awards
Industrial Relations Act 1979
Interpretation Act 1984
Jetties Act 1926
Jetties Regulations 1940
Land Administration Act 1997
Land Administration Regulations 1998
Land Valuation Tribunals 1978
Library Board of Western Australia 1951
Limitation Act 2005
Litter Act 1979
Liquor Control Act 1988
Local Government Act 1995
Local Government (Miscellaneous Provisions) Act 1960
Local Government Grants Act 1978
Local Government (Audit) Regulations 1996
Local Government (Constitution) Regulations 1998
Local Government (Elections) Regulations 1997
Local Government (Financial Management) Regulations 1997
Local Government (Functions & General) Regulations 1996
Local Government (Long Service Leave) Regulations
Local Government (Parking for Disabled Persons) Regulations 1988
Local Government (Rules of Conduct) Regulations 2007
Local Government (Uniform Local Provisions) Regulations 1996

<b>APPENDIX 2</b>
<b>Legislation and Regulations administered, wholly or in part, by the Shire of Carnarvon, or affecting the Shire's functions and operations; and Local Laws of the Shire</b>
Main Roads Act 1930
Native Title (State Provisions) Act 1999
Native Title (State Provisions) Regulations 2000
Occupational Safety & Health Act 1984
Occupational Safety & Health Regulations 1996
Parliamentary Commissioner Act 1971
Parks and Reserves Act 1895
Planning & Development Act 2005
Planning & Development (Consequential) Regulations 2006
Planning & Development (Development Assessment Panels) Regulations 2011
Planning & Development (Transitional) Regulations 2006
Planning & Development Regulations 2009
Public Works Act 1902
Radiation Safety Act 1974
Radiation Safety (General) Regulations 1983
Rates and Charges (Rebates and Deferments) Act 1992
Rights in Water and Irrigation Act 1914
Residential Design Codes of WA 2002
Residential Tenancies Act 1987
Residential Tenancies Regulations 1989
Right in Water & Irrigation Act 1914
Road Traffic Act 1974
Sewerage (Lighting, Ventilation & Construction) Regulations 1971
Soil & Land Conservation Act 1945
Soil & Land Conservation Regulations 1992
State Administrative Tribunal Act 2004
State Administrative Tribunal Regulations 2004
State Administrative Tribunal Rules 2004
State Records Act 2000
State Records (Consequential Provisions) Act 2000
State Records Principals & Standards 2002
Strata Titles Act 1985

<b>APPENDIX 2</b>
<b>Legislation and Regulations administered, wholly or in part, by the Shire of Carnarvon, or affecting the Shire’s functions and operations; and Local Laws of the Shire</b>
Strata Titles General Regulations 1996
Telecommunications Act 1997
Telecommunications (Low Impact Facilities) Determination 1997
Tobacco Products Control Act 2006
Tobacco Products Control Regulations 2006
Town Planning and Development Act 1928
Town Planning and Development (Subdivisions) Regulations 2000
Town Planning Regulations 1967
Transfer of Land Act 1893
Transport Co-ordination Act 1966
Valuation of Land Act 1978
Valuation of Land Regulations 1979
Waste Avoidance & Resource Recovery Act 2007
Waste Avoidance & Resource Recovery Regulations 2008
Waste Avoidance & Resource Recovery Levy Act 2007
Waste Avoidance & Resource Recovery Levy Regulations 2008
Waterways Conservation Act 1976
Workers’ Compensation & Injury Management Act 1981
Workers’ Compensation & Injury Management Regulations 1982

<b>APPENDIX 2</b>
<b>Legislation and Regulations that are wholly or partly administered by Local Government, And Local Laws of the Local Government</b>
<b><i>Legislation, Regulations and Local Laws</i></b>
<b>Local Laws of the Shire of Carnarvon</b>
Bush Fire Brigades Local Law 2021
Cats Local Law 2021
Cemeteries Local Law 2021
Dogs Local Law 2021
Health Local Law 2021 & Amendment 2022
Meeting Procedures Local Law 2021
Parking Local Law 2021

Public Places and Local Government Property Local Law 2021 & Amendment 2022
Waste Local Law 2021

<b>APPENDIX 3</b>	
<b>Government &amp; Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government</b>	
<i>Government &amp; Industry Standards and Codes of Practice</i>	<i>Tick if Yes</i>
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489-2002 Parts 1 & 2	✓
General Disposal Authority for Local Government Records DA 2023005	✓

<b>APPENDIX 4</b>	
<b>Government and Industry Standards and Codes of Practice that have been imposed upon or adopted by the Local Government</b>	
<i>Other Legislation and Regulations</i>	<i>Tick if YES</i>
Australian Accounting Standards	✓
Australian Records Management Standard ISO/AS 15489	✓
General Disposal Authority for Local Government Records	✓
National Competition Policy	✓

- Appendix 5 - Records Management Policy June 2025
- Appendix 6 - Corporate Records Management Procedure 2025
- Appendix 7 - Records Disaster Management Plan June 2025
- Appendix 8 - Extract from Annual Report 2023-24
- Appendix 9 - Recordkeeping Induction guide March 2025
- Appendix 10 - Staff Induction Extracts QUICK GUIDE RECORDS
- Appendix 11 - Local Government Records for Elected Members



Department of **Creative Industries,  
Tourism and Sport**  
**State Records Office of Western Australia**

Alexander Library Building  
Perth Cultural Centre  
25 Francis Street Perth WA 6000  
Telephone 61 8 9427 3600  
Email [sro@sro.wa.gov.au](mailto:sro@sro.wa.gov.au)  
[www.sro.wa.gov.au](http://www.sro.wa.gov.au)

**OFFICIAL**

Our reference: RKP/L/2003/018

9 December 2025

Ms Amanda Dexter  
Chief Executive Officer  
Shire of Carnarvon

*Emailed to: [shire@carnarvon.wa.gov.au](mailto:shire@carnarvon.wa.gov.au)*

Dear Ms Dexter

### **Amended Record Keeping Plan RKP 2025020**

I am pleased to advise that the Shire of Carnarvon (the Shire's) amended Record Keeping Plan (the Plan) was approved at the State Records Commission (the Commission) meeting of 25 November 2025.

My team would like to acknowledge the work of Ms Caroline Ballard, Coordinator Governance & Information, in developing this Plan.

The Commission notes that the Plan includes a commitment to address certain record keeping matters listed in the attachment to this correspondence.

In accordance with section 28 of the *State Records Act 2000*, the Plan is to be reviewed within five years of its approval date. Once completed, a report of the review must be submitted to the State Records Office by **25 November 2030**.

Should you or your organisation require any further assistance or clarification, please contact the State Records Office via the details above.

Yours sincerely

Damian Shepherd  
State Archivist and Executive Director  
State Records Office

This letter is sent electronically and is valid without a physical signature in accordance with the *Electronic Transactions Act 2011*.

**Attachment**

Matters identified by the Shire of Carnarvon for action under Record Keeping Plan RKP 2025020

**State Records Commission Standard 6: Outsourcing**

- Ongoing review and update of contractor record keeping responsibilities and practices.



Policy Code	Policy Name	Policy Category	Review Schedule	Traffic Light	Audit-Defensible Justification	Last Reviewed	Endorsed by Council	Next Review OCM
CD006	External grants – procurement and grants	Financial Governance / Grants	Annual	Red	Procurement compliance and grant conditions change; higher audit focus warrants annual review.	5/28/2024	5/12/2024	
CF001	Purchasing & Procurement	Financial Management	Annual	Red	FM Regulations	9/24/2024	9/3/2024	
CF002	Regional Price Preference	Financial Management	Biennial	Red	Procurement guidance	9/24/2024	9/3/2024	
CF009	Loans & Borrowing	Financial Management	Annual	Red	Statutory borrowing	9/24/2024	9/3/2024	
CF010	Corporate Credit Cards	Financial Management	Annual	Red	Fraud risk	9/24/2024	9/3/2024	
CF014	Investments	Financial Management	Annual	Red	Investment regulations	9/24/2024	9/3/2024	
CF013	Significant Accounting Policies	Financial Reporting	Annual	Red	Accounting standards	9/24/2024	9/3/2024	
CF017	Related Party Disclosures	Financial Reporting	Annual	Red	AASB requirements	9/24/2024	9/3/2024	
EME010	Execution of Documents & Common Seal	Governance & Compliance	Annual	Red	Statutory execution requirements	3/26/2024	3/7/2024	
EME014	Freedom of Information	Governance & Compliance	Annual	Red	FOI Act amendments	3/26/2024	3/7/2024	
EME030	Complaint Handling	Governance & Compliance	Annual	Red	Ombudsman guidance	6/25/2024	6/4/2024	
EME001	Code of Conduct – Council Members, Committee Members and Candidates	Governance & Conduct	Annual	Red	Subject to LG Act, Regulations and integrity reforms	3/26/2024	3/7/2024	
EME002	Attendance / Tickets to Events	Governance & Conduct	Annual	Red	Conduct, gifts and benefits scrutiny	3/26/2024	3/7/2024	
EME004	CEO Standards, Performance & Review Committee	Governance & Conduct	Annual	Red	CEO performance and governance risk	3/26/2024	3/7/2024	
EME005	CEO Leave & Acting Arrangements	Governance & Conduct	Annual	Red	Delegations and continuity risk	3/26/2024	3/7/2024	
EME008	Designated Senior Employees	Governance & Conduct	Annual	Red	LG Act governance requirements	3/26/2024	3/7/2024	
EME020	Disruptive Behaviour at Meetings	Governance & Conduct	Annual	Red	Meeting procedure reforms	6/25/2024	6/4/2024	
EME006	Reimbursement of Elected Members Expenses	Financial Governance	Annual	Red	Financial Management Regulations	3/26/2024	3/7/2024	
EME015	Elected Members Access to Information	Governance & Conduct	Annual	Red	Transparency obligations	3/26/2024	3/7/2024	
EME035	Elected Members - Electronic Attendance at Meetings	Governance	Annual	Red	Meeting regulations	6/25/2024	6/4/2024	
EME007	Legal Expenses – Elected Members & Employees	Governance & Conduct	Annual	Red	High integrity and financial exposure	3/26/2024	3/7/2024	
EME034	Communication	Communications	Biennial	Amber	Operational guidance	6/25/2024	6/4/2024	
EME021	Elected Members Contact with Shire Employees	Governance & Conduct	Annual	Red	Role separation & conduct	6/25/2024	6/4/2024	
EME036	Privacy	Information Governance	Annual	Red	Privacy Act reforms	9/24/2024	9/3/2024	
EME037	Data Breach	Information Governance	Annual	Red	Mandatory reporting	9/24/2024	9/3/2024	
EME031	Shire Social Media	Communications & Risk	Annual	Red	Reputational & conduct risk	6/25/2024	6/4/2024	
CD001	CCTV Data Management	Information Governance / Privacy	Annual	Red	Privacy/security obligations and cyber risk; requires frequent alignment to privacy guidance and operational controls.	5/28/2024	5/12/2024	
EME013	Public Interest Disclosure	Integrity & Compliance	Annual	Red	Integrity legislation	3/26/2024	3/7/2024	
CF006	Financial Hardship	Revenue	Annual	Red	Rates & hardship guidance	9/24/2024	9/3/2024	
CF007	Debt Collection	Revenue	Annual	Red	Rates recovery law	9/24/2024	9/3/2024	
CF011	Recovery of Rates	Revenue	Annual	Red	Rates legislation	9/24/2024	9/3/2024	
CF012	Rates Charges	Revenue	Annual	Red	LG Act	9/24/2024	9/3/2024	
CF019	Rates Exemptions for Charitable Purposes	Revenue	Annual	Red	Statutory decision making	9/24/2024	9/3/2024	
CF008	Risk Management	Risk & Audit	Annual	Red	Audit expectations	9/24/2024	9/3/2024	
CD0011	Child Safe Awareness	Community Safety / Workforce	Annual	Red	High duty-of-care expectations;	5/28/2024	5/12/2024	
EME026	Employee Gratuity Payments	Workforce & Finance	Annual	Red	Financial & employment law	6/25/2024	6/4/2024	
EME012	Equal Employment Opportunity	Workforce & WHS	Annual	Red	Anti-discrimination law	3/26/2024	3/7/2024	
EME033	Grievance Investigation & Resolution	Workforce & WHS	Annual	Red	Procedural fairness	6/25/2024	6/4/2024	
ID002	Maintenance of Shire Roads, Station Access Roads and Station Airstrips	Infrastructure / Asset Services	Annual	Red	High public safety and liability exposure	5/28/2024	5/12/2024	
CD0013	Compliance	Governance / Compliance	Annual	Red	Core compliance framework; frequent legislative and guidance changes and audit expectations.	5/28/2024	5/12/2024	
EME024	Caretaker Policy – Shire Elections	Governance & Elections	Biennial	Amber	Election legislation	6/25/2024	6/4/2024	
EME032	Election Signs	Governance & Elections	Biennial	Amber	Election law	6/25/2024	6/4/2024	
CF005	Disposal of Surplus IT & Minor Assets	Asset Management	Biennial	Amber	Asset governance	9/24/2024	9/3/2024	
CF016	Asset Management	Assets	Biennial	Amber	FMR cycles	5/28/2024	5/12/2024	
CF015	Private Works	Commercial	Biennial	Amber	Commercial risk	9/24/2024	9/3/2024	
EME019	Roles & Responsibilities of Shire Delegates to External Bodies	Governance	Biennial	Amber	Governance clarity	6/25/2024	6/4/2024	
EME023	Governance Support to Elected Members	Governance	Biennial	Amber	Support framework	6/25/2024	6/4/2024	
EME003	Elected Members Induction & Professional Development and Conference Atten	Governance & Conduct	Biennial	Amber	Election timeline Guidance driven, moderate change	3/26/2024	3/7/2024	
EME011	Elected Members Service Award & Gift	Governance & Conduct	Biennial	Amber	Ceremonial but conduct related	3/26/2024	3/7/2024	
EME022	Civic Functions & Hospitality	Governance & Conduct	Biennial	Amber	Gifts & probity	6/25/2024	6/4/2024	
EME009	Record Keeping & Data Migration	Information Governance	Biennial	Amber	Records legislation & ICT standards	6/24/2025	6/7/2025	
EME029	Annual Closure – Festive Season	Operations	Biennial	Amber	Industrial arrangements	6/25/2024	6/4/2024	
CF018	Leasing & Licensing of Property	Property	Biennial	Amber	Tenure governance	9/24/2024	9/3/2024	
EME016	Elected Members Access to Vehicles	Use of Public Resources	Biennial	Amber	Resource governance	3/26/2024	3/7/2024	
ID001	Crossovers	Infrastructure / Roads	Biennial	Amber	May change with engineering standards, traffic guidance, and local law/practice updates.	5/28/2024	5/12/2024	

ID003	Stock grids policy	Infrastructure / Rural Services	Biennial	Amber	Change driven by land management practice, safety and stakeholder expectations	5/28/2024	5/12/2024
CD002	Market Traders at The Woolshed	Community / Local Business	Biennial	Amber	Change with local trading conditions, approvals and compliance expectations.	5/28/2024	5/12/2024
CD004	Community Growth Fund	Community Funding / Governance	Biennial	Amber	Accountability and fairness requirements	5/28/2024	5/12/2024
CD007	Carnarvon mobile trading	Community / Regulatory	Biennial	Amber	Moderate legislative and operational change	5/28/2024	5/12/2024
CD008	Consumption of alcohol on Shire owned and managed properties	Community Safety / Compliance	Biennial	Amber	Public safety and reputational risk	5/28/2024	5/12/2024
CD0010	Property Fences	Infrastructure / Property	Biennial	Amber	Review for standards, safety and consistency with local practices.	5/28/2024	5/12/2024
CD0011	Incoming Corporate Partnerships	Governance / Commercial	Biennial	Amber	Probity and reputational considerations	5/28/2024	5/12/2024
CD0014	Outgoing Sponsorship	Financial Governance / Community	Biennial	Amber	Public accountability and probity	5/28/2024	5/12/2024
EME028	Flying Flags	Civic	Triennial	Green	Low change	6/25/2024	6/4/2024
EME017	Use of Shire Logo	Communications	Triennial	Green	Low legislative change	3/26/2024	3/7/2024
EME025	Reference Groups	Community Engagement	Triennial	Green	Stable engagement framework	6/25/2024	6/4/2024
EME018	Honorary Freeman of the Shire	Civic & Ceremonial	Triennial	Green	Stable ceremonial policy	6/25/2024	6/4/2024
EME027	Acknowledgement of Traditional Owners	Cultural	Triennial	Green	Cultural protocol	6/25/2024	6/4/2024
ID004	Naming of roads, parks, places, and buildings	Governance / Statutory	Triennial	Green	Review triggered by naming guidance or local law amendments.	5/28/2024	5/12/2024
ID005	Memorials in road reserves, parks, foreshores etc	Community / Place Management	Triennial	Green	Review to reflect community expectations, risk controls and land management practices.	5/28/2024	5/12/2024
CD003	Community Awards	Civic / Ceremonial	Triennial	Green	Review aligned to event cycle and community expectations unless guidance changes.	5/28/2024	5/12/2024
CD005	Letters of support	Governance / Communications	Triennial	Green	Review to ensure clear criteria and reputational risk controls.	5/28/2024	5/12/2024
CD009	Community engagement	Governance / Community	Triennial	Green	Review ensures alignment to engagement standards and Council expectations.	5/28/2024	5/12/2024
CD0015	Artwork Collection	Culture / Asset Stewardship	Triennial	Green	Review to ensure stewardship, valuation/insurance controls and collection management practices remain fit-for-purpose.	5/28/2024	5/12/2024



Compliance calendar Internal Controls (Dec 2026 - Jan 2026)

Category	Activity	Legislation	Status	Outcome
Operational Task	C389 EOM ONLINE CHECKLIST Complete Online Checklist in People Culture and Systems Team	N/A	Completed	Completed
Operational Task	C361 Renew Residential Lease Agreement for Shire Property Lease renewal required for 51 Yardi Quays - Amanda Dexter - expiry 31.12.2025	N/A	Completed	Tenancy agreement expiring on 31 December 2026 signed.

Operational Task	C448 RAP - ACTION 10 The Shire of Carnarvon works to create and support economic opportunity for Yinggarda, Baiyungu and other Aboriginal and/or Torres Strait Islander people in our region. By working together, we aim...	N/A	Completed	I have reviewed the intent and requirements of RAP Action 10, which seeks to create and support economic opportunities for Yinggarda, Baiyungu and other Aboriginal and Torres Strait Islander peoples through increased supplier diversity and collaboration. Based on this review, I am satisfied that the action has been appropriately positioned within the Shire's broader economic and procurement framework, recognising Aboriginal and Torres Strait Islander businesses as key contributors to local economic development. The approach supports mutually beneficial outcomes by strengthening supplier diversity, encouraging participation of Aboriginal and Torres Strait Islander businesses, and recognising the value of local knowledge, skills, and perspectives in service delivery and economic activity. This action is appropriately managed as an ongoing commitment rather than a one-off initiative, aligning with procurement practices, economic development objectives, and organisational values. The intent of RAP Action 10 has therefore been met to the extent practicable within this reporting period and is embedded as business-as-usual.
------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----	-----------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Operational Task	C427 RAP ACTION 6The Shire of Carnarvon recognises that respect for the Yinggarda, Baiyungu, and other Aboriginal and/or Torres Strait Islander people who reside in our local government area is an essential foundat...	N/A	Completed	I have reviewed the outcome for this subtask, which has been delivered through the provision of endorsed Acknowledgment of Country wording on the Shire of Carnarvon website and its consistent use at team meetings. An all-staff email has also been issued to circulate the wording and provide guidance on its application. Based on this review, I am satisfied that appropriate cultural protocols have been implemented and communicated across the organisation. The actions taken demonstrate respect for Aboriginal and Torres Strait Islander peoples and support consistent and appropriate observance of cultural protocols in both internal and public-facing settings. The subtask has been achieved and is suitable for closure, noting that ongoing observance of cultural protocols will continue as part of normal organisational practice.
------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----	-----------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Operational Task	C426 RAP ACTION 5The Shire of Carnarvon recognises that respect for the Yinggarda, Baiyungu, and other Aboriginal and/or Torres Strait Islander people who reside in our local government area is an essential foundat...	N/A	Completed	I have reviewed the outcome provided by the Executive Manager Corporate Strategy and Performance in relation to the action to increase understanding, value and recognition of Aboriginal and Torres Strait Islander cultures, histories, knowledge and rights through cultural learning.Based on this review, I am satisfied that the intent of the action has been achieved through the embedding of cultural learning considerations into organisational practices, planning, and engagement processes. The approach taken appropriately positions cultural learning as an ongoing, business-as-usual activity rather than a discrete or time-limited initiative.The outcome aligns with the intent of the original action and is appropriate for closure within ATTAIN, noting that cultural learning will continue to be progressed through normal operational and strategic activities.
------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----	-----------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Legislative Requirement	C97 Disability Access and Inclusion Plan to be made available - Internal AuditLG must publish the DAIP on request in electronic format, hard copy in standard and large print, in audio format, on request by email and on the website"	Disability Services Act 1993Disability Services Regulations 2004	Completed	Task reviewed by Jamie Bone, A/EM Lifestyle and Community.Disability Access and Inclusion Plan (DAIP) reference within the 24/25 Shire of Carnarvon annual report as per legislative responsibilities, referenced on page 29 of the report.Outlines the Shire of Carnarvon's ongoing commitment to to the DAIP, inclusive of initiatives being undertaken to support this plan.No further work required on this action until next review period.
Operational Task	C389 EOM ONLINE CHECKLISTComplete Online Checklist in People Culture and Systems Team	N/A	Completed	This have been completed
Operational Task	C64 Review of Synergy AccessCheck staff access and permissions to Synergy modules	N/A	Completed	This have been completed on the 13/1/2026
Operational Task	C327 End of Month (EOM) Digital Lock Reconciliations for Server Access and check for any software updatesAudit/check of server lock(s) access for the last calendar month, check for any updates to lock software	N/A	Completed	EUFY Event Log's Library Server Dec 2025 SOC00246 signed and finalized on 13/1/2026
Legislative Requirement	C88 Integrity in Procurement - Internal AuditReview policies, procedures, internal controls, relevant to purchasing activities, making payments and contract management, as well as practices for recruitment, induction and training of employees...	Local Government (Financial Management) Regulations 1996Local Government (Audit) Regulations 1996	Completed	19/12/25 - This is currently being actioned as we prepare for the implementation of Altus Procurement. Our procurement policy needs to be provided to Altus so will be reviewed prior to this.

Operational Task	C378 Renew Residential Lease Agreement for Shire Property Lease renewal required for 10 Foss Crescent exp 31.12.2025 - Sachin Kumar	N/A	Completed	Tenancy agreement expiring 31 December 2026 signed.
Legislative Requirement	C206 List of Payments by employees via purchasing cards List of payments must be prepared each month and presented to council	Local Government (Financial Management) Regulations 1996	Completed	Credit Card statements presented to council at the December 2025 Council Meeting.
Legislative Requirement	C142 Copies of public documents to be given to State Librarian Deposit copies of published material of the local authority to the State Library of WA and National Library of Australia within 30 days of its publication	Legal Deposit Act 2012 Legal Deposit Regulations 2013	Completed	Uploaded January 2026 Issue 09 From the river to the reef Carnarvon & Coral Bay Community Newsletter to Legal Deposit on 21/01/2026
Operational Task	C542 Defibrillator – Monthly Maintenance Schedule Checks should include verifying the battery level, ensuring the pads are sealed, and confirming they are within their expiry date.	N/A	Completed	I attended the defib cabinet and checked over the defib and paddles, all are within date and charged properly. I have gotten the code for the cabinet too and passed this onto Renee Louw to be kept on a spreadsheet for us for any future reference.
Operational Task	C542 Defibrillator – Monthly Maintenance Schedule Checks should include verifying the battery level, ensuring the pads are sealed, and confirming they are within their expiry date.	N/A	Completed	I attended the defib cabinet on the 30th of Jan and checked over the defib and paddles, all are within date and charged properly. I have gotten the code for the cabinet too and passed this onto Renee Louw to be kept on a spreadsheet for us for any future reference.

Legislative Requirement	C365 Publish Meeting Recording Recordings of council meetings must be published on the local government's website or another external website with a link placed on the local government's website.The recording must be...	Local Government Act 1995 Local Government (Administration) Regulations 1996	Completed	Published on the 27 January 2026
Legislative Requirement	C32 Elected Members Check that Elected Members have not been absent for 3 consecutive meetings without Leave of Absence being granted	Local Government Act 1995	Completed	An attendance register is updated monthly and as at 30 January 2026 there have been no incidences of any Councillor who has been absent for more than 3 meetings in a row.
Legislative Requirement	C141 Gifts and Travel Register - Update Update register and publish to website	Local Government Act 1995 Local Government (Administration) Regulations 1996	Completed	Gifts register is a live document on the website with any gifts added to register when received. As of 30 January 2026 the gift register is true and correct.
Operational Task	C292 Lease expiry - Lions Club Land/property leased from the Shire of Carnarvon, Lease of building, 133 Carnarvon Airport	N/A	Completed	Lease renewal in progress, Attain task has been set up
Operational Task	C263 Monthly check for staff housing - utilities invoicing Check all relevant and appropriate utilities have been charged to tenants in staff housing See the attached document which outlines current staff houses and their tenants and which (if any)...	N/A	Completed	.

Legislative Requirement	C145 Local Emergency Management Committee Hold committee meeting quarterly in accordance with the Act	Emergency Management Act 2005	Completed	Meeting to be held on 10 Feb 2026
Legislative Requirement	C16 Local Emergency Management Committee - Internal Audit LG must establish a LEMC, constituted and under the procedures established by the State Emergency Committee	Emergency Management Act 2005	Completed	LEMC is established.
Legislative Requirement	C72 FOI Statement Commence review Organisation's Information Statement (and FOI processes)	Freedom of Information Act 1992	Completed	Review completed and included in February 2026 Agenda for adoption by Council
Operational Task	C356 Tender Contract expiry - RFT 11/2022 Provision of Plumbing Services Expiry of Contract Further term - 2nd term of 3 years	N/A	Completed	Contract extension signed by A/CEO 7.1.26 sent to Contractor 13.1.26 Signed copy returned 16.1.26, copy placed on S Drive under RFT 11/2022
Operational Task	C355 Tender Contract expiry - RFT 10/2022 Provision of Electrical Services (Carnarvon Electrics) Expiry of Contract Further term: 2nd term of 3 years	N/A	Completed	Extension E001 completed and signed - Filed on S Drive under RFT 10/2022 Contract Extension
Legislative Requirement	C12 Annual Report - Accepted To be accepted by Absolute Majority by 31 December	Local Government Act 1995 Local Government (Administration) Regulations 1996	Completed	Annual Report and Auditors Report/Financials endorsed by Council by Absolute Majority on 16 December 2025

Legislative Requirement	C368 Compliance Reports Councillor Meeting Attendance - Agenda Item for Audit & Risk Management Committee Report to ARMC to monitor Councillor attendance at Ordinary Meetings of Council and Special Council Meetings to oversee compliance with Local Government Act	Local Government (Administration) Regulations 1996	Completed	Report on Councillors Attendance to the ARIC February 2026 - updated by Admin
Operational Task	C314 Building Services Monthly tasks Tasks to be performed monthly at the start of each month	N/A	Completed	Tasks Completed
Operational Task	C237 Insurance certificate expiry - THOTHX (OTC Dish) Land/property leased from the Shire of Carnarvon, a requirement of the lease is to provide a copy of annual Insurance renewal document	N/A	Completed	actions complete
Legislative Requirement	C25 Annual General Meeting of Electors Give Public Notice and hold General Meeting of Electors - to be held within 56-days of adoption of Annual Report	Local Government Act 1995 Local Government (Administration) Regulations 1996	Completed	AGM called for 20 January 2026
Operational Task	C392 EOM ONLINE CHECKLIST Complete Online Checklist in People Culture and Systems Team	N/A	Completed	action complete
Operational Task	C445 RAP - ACTION 10 The Shire of Carnarvon works to create and support economic opportunity for Yinggarda, Baiyungu and other Aboriginal and/or Torres Strait Islander people in our region. By working together, we aim...	N/A	Completed	cleared by Admin - subtask completed

Legislative Requirement	C141 Gifts and Travel Register - Update register and publish to website	Local Government Act 1995 Local Government (Administration) Regulations 1996	Completed	Register is current and up to date as of 6 January 2026 and live on the website
Operational Task	C540 Delegation Report - Environmental Health Officer Reports due the first week of the month.	N/A	Completed	submitted 5/1/26
Legislative Requirement	C365 Publish Meeting Recording Recordings of council meetings must be published on the local government's website or another external website with a link placed on the local government's website. The recording must be...	Local Government Act 1995 Local Government (Administration) Regulations 1996	Completed	Last Meeting has been published on website and a link on our social media
Operational Task	C556 Review of ATSB wildlife strike data – Carnarvon Aerodrome (YCAR) Review of ATSB wildlife strike data – Carnarvon Aerodrome (YCAR)	N/A	Completed	Data reviewed via ATSB and it appears there is no data post 30 September 2025. Follow up to occur with ATSB to understand if later data sets are available as per their website. Notwithstanding this, review of AVCRM specific to YCAR identifies no wildlife incidents inclusive of bird strikes have occurred and/or been recorded. Task to be closed until next iteration of this task

Operational Task	C193 Insurance certificate expiry - KM Bakker - Hangar 139 Cvn AirportLand/property leased from the Shire of Carnarvon, a requirement of the lease is to provide a copy of annual Insurance renewal document	N/A	Completed	action completed
Legislative Requirement	C02 Monthly Financial Report & Financial Position Statement Prepare a Financial Position Statement and a monthly statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d).Present...	Local Government Act 1995 Local Government (Financial Management) Regulations 1996	Completed	All required documents as per legislation were presented to Council in the Monthly Financial Report and adopted as received on 16/12/25 OCM 18/12/25
Legislative Requirement	C135 Audit - Auditor's Report Copies provided Copy of the Audit report to be provided to the President / Mayor, CEO and the Minister within 30 days of completing the audit.	Local Government Act 1995 Local Government (Audit) Regulations 1996	Completed	The OAG transmitted the required to the CEO & President on the 5th of December.
Legislative Requirement	C09 Financial Interests Register - Internal Audit Review the register for: • Compliance with s.5.88 and Admin. Reg. 28 • Register accurately records all declarations • Declarations comply with disclosure requirements under LG Act...	Local Government Act 1995 Local Government (Administration) Regulations 1996	Completed	Register review conducted and all disclosures comply.
Operational Task	C391 EOM ONLINE CHECKLIST Complete Online Checklist in People Culture and Systems Team	N/A	Completed	Completed

Legislative Requirement	C12 Annual Report - AcceptedTo be accepted by Absolute Majority by 31 December	Local Government Act 1995Local Government (Administration) Regulations 1996	Completed	Annual report Completed
Operational Task	C64 Review of Synergy AccessCheck staff access and permissions to Synergy modules	N/A	Completed	All completed by relevant staff members
Legislative Requirement	C11 Council / Committee Meeting ScheduleThe CEO must publish on the local government's official website the meeting details for the following meetings before the beginning of the year	Local Government Act 1995Local Government (Administration) Regulations 1996	Completed	Council and Committee Dates for the 2026 have been uploaded onto the Shire website.
Operational Task	C475 Annual renewal of Chapter Bay Book Club membershipAnnual renewal of Chapter Bay Book Club membership	N/A	Completed	Purchase Order raised for annual membership 2026 - awaiting invoice from City of Greater Geraldton.
Legislative Requirement	C142 Copies of public documents to be given to State LibrarianDeposit copies of published material of the local authority to the State Library of WA and National Library of Australia within 30 days of its publication	Legal Deposit Act 2012Legal Deposit Regulations 2013	Completed	December 2025 Issue 08 From the river to the reef Carnarvon & Coral Bay Community NewsletterUploaded to Legal Deposit 12/12/2025
Operational Task	C327 End of Month (EOM) Digital Lock Reconciliations for Server Access and check for any software updatesAudit/check of server lock(s) access for the last calendar month, check for any updates to lock software	N/A	Completed	HiThese have been completed late due to the supporting officer that assisted while I was on leave, where unable to complete the work.

Operational Task	C474 INTER-LIBRARY LOANS RECOUP Inter-library loans recoup from State Library of WA (01 July to 31 December)	N/A	Completed	This action has now been superseded by action number C555. The annual recoup invoice has now been raised for 2025-26.
Operational Task	C14 Master Compliance Calendar Review Review the Compliance Calendar content and consult with the CEO, Executive and employees to identify any additional Compliance Action tasks for inclusion in Calendar.	N/A	Completed	actioned
Operational Task	C314 Building Services Monthly tasks Tasks to be performed monthly at the start of each month	N/A	Completed	Completed
Operational Task	C375 Review of Volunteer Registrations Reminder to all Managers, Execs and Coordinators that all volunteer registrations must be reviewed and assessed internally every six months to ensure compliance and accuracy	N/A	Completed	Completed - all leadership are advising accordingly when volunteers are coming on.
Operational Task	C322 Lease Invoice due - Coral Coast Helicopter Services - Office Land/property leased from the Shire of Carnarvon; quarterly rental invoice due.	N/A	Completed	invoice actioned
Operational Task	C392 EOM ONLINE CHECKLIST Complete Online Checklist in People Culture and Systems Team	N/A	Completed	actions complete

Operational Task	C540 Delegation Report - Environmental Health Officer Reports due the first week of the month.	N/A	Completed	completed 1/12/25
Legislative Requirement	C377 Fire Break Inspections Phase 1: Fire Break Inspections Phase 1: Start Yearly from September 1st	Bush Fires Act 1954	Completed	Task completed.
Legislative Requirement	C367 Lease Register Annual Status Report - Agenda Item for Audit & Risk Management Committee Report to ARMC to provide Council with an annual update on the Shire's Commercial and Community Lease portfolio (LG 1995 3.58 legislation added for reference only)	Local Government Act 1995	Completed	Agenda item with updated lease register to ARIC 16 December 2025
Operational Task	C258 Lease Invoice due - Carnarvon Horse & Pony Club Lease Land/property leased from the Shire of Carnarvon; annual rental invoice due.	N/A	Completed	action complete
Operational Task	C255 Lease Invoice due - Westralian Marine Group (Norwest Seafoods) Lease Hangar 134 at Carnarvon Airport Land/property leased from the Shire of Carnarvon; annual rental invoice due.	N/A	Completed	action complete

Operational Task	C418 RAP ACTION 3The Shire of Carnarvon understands that building and maintaining productive partnerships with Yinggarda, Baiyungu, and other Aboriginal and/or Torres Strait Islander people is vital for reconciliat...	N/A	Progressing	All tasks completed, this task is awaiting Executive officer review of actions completed. Task to be completed by 1 March 2026.
Operational Task	C422 RAP ACTION 4The Shire of Carnarvon understands that building and maintaining productive partnerships with Yinggarda, Baiyungu, and other Aboriginal and/or Torres Strait Islander people is vital for reconciliat...	N/A	Progressing	All tasks completed, this task is awaiting Executive officer review of actions completed. Task to be completed by 1 March 2026.
Operational Task	C423 RAP ACTION 5The Shire of Carnarvon recognises that respect for the Yinggarda, Baiyungu, and other Aboriginal and/or Torres Strait Islander people who reside in our local government area is an essential foundat...	N/A	Completed	Updated by Admin - sub task completed
Operational Task	C428 RAP ACTION 6The Shire of Carnarvon recognises that respect for the Yinggarda, Baiyungu, and other Aboriginal and/or Torres Strait Islander people who reside in our local government area is an essential foundat...	N/A	Progressing	All tasks completed, this task is awaiting Executive officer review of actions completed. Task to be completed by 1 March 2026.

Legislative Requirement	C08 Policy Manual Review	Local Government Act 1995	Progressing	Policy framework review is underway using a staged, risk-based approach to ensure policies remain current, compliant and operationally aligned. Progress is being reported to the Audit & Risk Improvement Committee in February. Policies will be presented progressively to Council as completed, with annual policies scheduled for the March
Operational Task	C406 Run the ElectionElection	N/A	Completed	Nil
Operational Task	C201 Insurance certificate expiry - Carnarvon Horse and Pony ClubLand/property leased from the Shire of Carnarvon, a requirement of the lease is to provide a copy of annual Insurance renewal document	N/A	Progressing	All tasks complete, awaiting responsible officer to upload information to Shire's record keeping system prior to closing this task.
Operational Task	C466 Site visit to be conducted by the Commonwealth - RJED Grant - Strengthening Our Future - Pathways to Employment- 4-KTTH84LThis grant is provided under the Remote Jobs and Economic Development Program -Site visit to be conducted by the Commonwealth in the three months leading to the due date (six monthly)	N/A	Progressing	Awaiting notification of sit visit

Ref#	Finding	Significant	Moderate	Minor	Assessment	Implication	Recommendation	Management Comment	Followup comments
Finance Department Review Findings	Inadequate physical inspection of infrastructure assets	✓			We noted that desktop valuations of various infrastructure assets (roads, drainage, pathways, urban drainage, culverts, stock grid, signs and bridges) at 30 June 2023 were completed by Greenfield Technical Services. However there was no comprehensive inspection and condition assessment of individual assets within this asset class, either by management or the independent valuer.	A comprehensive inspection and condition assessment of all assets that are subject to a formal valuation is essential to ensure that impaired or non-existent assets are identified and that the asset records used for the valuations are updated accordingly.	We recommend that when non-financial asset classes are subject to a formal valuation as required by Regulation 17A of the Local Government (Financial Management) Regulations 1996, a comprehensive inspection and condition assessment of these assets should also be undertaken to ensure that asset impairments and updated asset useful lives are considered in the asset valuations.	Greenfield Technical Services prepared a comprehensive inspection and condition assessment of these assets in 2020 and are due to do another in 2024. Since 2020 any new works have been documented into RAMM and any defects noted. As such the Shire is confident that the data in RAMM is sound. The Shire is committed to do every 4 years comprehensive inspection and condition assessment in the future. The Shire will consider the results of the 2024 pickup and may revalue these assets again at that time if deemed necessary.	As per comments. Discuss with EMIS.
2	Super/privileged user access on Synergy Soft	✓			During our review of Synergy Soft system users at 30 June 2023, we noted that 19 staff were classified as super/privileged users (users with full access to Synergy Soft). This includes 5 staff who have Finance roles in the Shire. In addition, the Shire advised that changes made by super users in Synergy Soft were not independently reviewed as at 30 June 2023.	There is a risk of fraudulent transactions being processed in Synergy Soft.	Management should review users who have super/privileged access to Synergy Soft on a regular basis and ensure that their roles and user access rights are not inconsistent. An audit report showing the trail of changes made by super users should also be independently reviewed as part of the Shire's month-end reporting process. Evidence of the review should be retained.	The number of Super users has been reduced. Changes made to the COA maintenance commencing October 2024 are reviewed by the Finance Team, DCEO and CEO monthly basis. The number of Super users will be reviewed monthly along with EOM Finance procedures from December 2023.	Number of super users reduced. Audit of Synergy users added to monthly processes. Changes to any creditors, debtors & COA audited separately. (Sarah)
3	General journals not independently reviewed	✓			Most general and rates journals were prepared and posted by the same officer and were not always independently authorised by a senior officer.	General journals can represent significant adjustments to previously approved accounting transactions and should therefore be appropriately reviewed and approved. If general journals are not independently reviewed and approved, there is an increased risk that unauthorised journals could result in errors in financial reports or fraud and can be processed and may pass undetected.	Whilst we did not note any matters of audit significance, to help ensure that general journals are bona-fide and correct, all general and rates journals should be reviewed and approved by a senior officer independent of preparation. Evidence of this review should be retained.	General Journals are, in most cases loaded by an Officer or consultant, and updated/reviewed by another officer or the consultant. On very rare occasions both upload and update are done by the same person, if this occurs it is normally the consultant as processes occur out of business hours and are urgent. In all cases the journal print outs are referred to Staff for review as soon as possible. We do note that this process was implement in 2023 and there may be some earlier in the year that are being referred to in this finding. Monthly processes have been implemented to include General Journal review and processing.	Completed. All journal are signed off on monthly basis.
4	Unclaimed Monies			✓	We noted that the payable balances in general ledger accounts 163910 and 161900, that hold excess monies owed to ratepayers, had a net outstanding balance of \$7,401 at 30 June 2023 which remains consistent with last year's balance, only decreasing by \$23. Management is unable to quantify the unclaimed monies held for over 6 years that should be transferred to the Department of Treasury under the Act. We understand that a reconciliation of these balances will be completed in FY 2024. This finding was first reported in 2021 and remains unresolved.	There is a risk that trade and other payables may be misstated and the Shire may be in breach of the Unclaimed Money Act 1990.	We recommend that the Shire actively reconciles their unclaimed monies balance and management transfer any unclaimed monies held by the Shire for 6 years or more to the Department of Treasury, where they have been unable to contact the relevant ratepayers.	Over the past 9 months the Shire staff have been reconciling old accounts – we recognise that there are funds held in Balance sheet accounts that are in the process of being re-reconciled for possible return to the payee or to post to revenue. This has in some cases proved to be a demanding exercise where the funds have been returned but posted to another expense account, or the funds were deposited to the Shire's Bank account and it is not known why. The status of these accounts will form part of the monthly reconciliation processes commencing 31st December 2023	Will be reconciled by before 30 June 2024. (Sarah)
5	Accounts Payable Suspende Accounts			✓	We noted that the trade and other payables balance reported in the annual financial report at 30 June 2023 included suspense accounts (general ledger account 163810 and 161800) with a balance of \$11,300, a slight increase as compared to the prior year. This finding was first reported in 2021 and remains unresolved.	Lack of regular and timely review of transactions in the suspense account increases the risk that transactions may not be correctly classified and that balances could be misstated. Suspense accounts are temporary accounts that must be closed at the end of the financial year.	We recommend that transactions in the suspense accounts are reviewed on a regular basis and posted to the appropriate accounts. Suspense accounts should be reconciled at year end.	Same comment as per finding 4 The status of these accounts will form part of the monthly reconciliation processes commencing 31st December 2023	Completed by 30 June. AccWest.

	6 Inadequate records of signed agreements			<p>We noted that the Shire's Road Access - Upgrade &amp; Maintenance Deed agreement with Yangibana Pty Ltd dated 25 August 2022 was only signed by the Shire. The Shire could not provide us with a copy of the agreement that was countersigned by Yangibana Pty Ltd.</p> <p style="text-align: center;">✓</p>	<p>There is a risk that the contract is not legally binding.</p>	<p>Management should ensure that there are adequate records of all contracts that are entered into by the Shire, and that copies of contract that are signed by all parties to the agreement are retained on file.</p>	<p>The Shire will seek to source a copy of the agreement signed by Yangibana Pty Ltd. Yangibana have paid the Shire a bond of \$100,000 as per the agreement, so we believe the contract is legally binding.</p>	<p>Completed. SEEMA</p>
--	-------------------------------------------	--	--	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------

Ref#	Finding	Significant	Moderate	Minor	Assessment	Implication	Recommendation	Management Comment	Followup comments
Finance Department Review Findings	Inadequate physical inspection of infrastructure assets	✓			We noted that desktop valuations of various infrastructure assets (roads, drainage, pathways, urban drainage, culverts, stock grid, signs and bridges) at 30 June 2023 were completed by Greenfield Technical Services. However there was no comprehensive inspection and condition assessment of individual assets within this asset class, either by management or the independent valuer.	A comprehensive inspection and condition assessment of all assets that are subject to a formal valuation is essential to ensure that impaired or non-existent assets are identified and that the asset records used for the valuations are updated accordingly.	We recommend that when non-financial asset classes are subject to a formal valuation as required by Regulation 17A of the Local Government (Financial Management) Regulations 1996, a comprehensive inspection and condition assessment of these assets should also be undertaken to ensure that asset impairments and updated asset useful lives are considered in the asset valuations.	Greenfield Technical Services prepared a comprehensive inspection and condition assessment of these assets in 2020 and are due to do another in 2024. Since 2020 any new works have been documented into RAMM and any defects noted. As such the Shire is confident that the data in RAMM is sound. The Shire is committed to do every 4 years comprehensive inspection and condition assessment in the future. The Shire will consider the results of the 2024 pickup and may revalue these assets again at that time if deemed necessary.	As per comments. Discuss with EMIS.
2	Super/privileged user access on Synergy Soft	✓			During our review of Synergy Soft system users at 30 June 2023, we noted that 19 staff were classified as super/privileged users (users with full access to Synergy Soft). This includes 5 staff who have Finance roles in the Shire. In addition, the Shire advised that changes made by super users in Synergy Soft were not independently reviewed as at 30 June 2023.	There is a risk of fraudulent transactions being processed in Synergy Soft.	Management should review users who have super/privileged access to Synergy Soft on a regular basis and ensure that their roles and user access rights are not inconsistent. An audit report showing the trail of changes made by super users should also be independently reviewed as part of the Shire's month-end reporting process. Evidence of the review should be retained.	The number of Super users has been reduced. Changes made to the COA maintenance commencing October 2024 are reviewed by the Finance Team, DCEO and CEO monthly basis. The number of Super users will be reviewed monthly along with EOM Finance procedures from December 2023.	Number of super users reduced. Audit of Synergy users added to monthly processes. Changes to any creditors, debtors & COA audited separately. (Sarah)
3	General journals not independently reviewed	✓			Most general and rates journals were prepared and posted by the same officer and were not always independently authorised by a senior officer.	General journals can represent significant adjustments to previously approved accounting transactions and should therefore be appropriately reviewed and approved. If general journals are not independently reviewed and approved, there is an increased risk that unauthorised journals could result in errors in financial reports or fraud and can be processed and may pass undetected.	Whilst we did not note any matters of audit significance, to help ensure that general journals are bona-fide and correct, all general and rates journals should be reviewed and approved by a senior officer independent of preparation. Evidence of this review should be retained.	General Journals are, in most cases loaded by an Officer or consultant, and updated/reviewed by another officer or the consultant. On very rare occasions both upload and update are done by the same person, if this occurs it is normally the consultant as processes occur out of business hours and are urgent. In all cases the journal print outs are referred to Staff for review as soon as possible. We do note that this process was implement in 2023 and there may be some earlier in the year that are being referred to in this finding. Monthly processes have been implemented to include General Journal review and processing.	Completed. All journal are signed off on monthly basis.
4	Unclaimed Monies			✓	We noted that the payable balances in general ledger accounts 163910 and 161900, that hold excess monies owed to ratepayers, had a net outstanding balance of \$7,401 at 30 June 2023 which remains consistent with last year's balance, only decreasing by \$23. Management is unable to quantify the unclaimed monies held for over 6 years that should be transferred to the Department of Treasury under the Act. We understand that a reconciliation of these balances will be completed in FY 2024. This finding was first reported in 2021 and remains unresolved.	There is a risk that trade and other payables may be misstated and the Shire may be in breach of the Unclaimed Money Act 1990.	We recommend that the Shire actively reconciles their unclaimed monies balance and management transfer any unclaimed monies held by the Shire for 6 years or more to the Department of Treasury, where they have been unable to contact the relevant ratepayers.	Over the past 9 months the Shire staff have been reconciling old accounts – we recognise that there are funds held in Balance sheet accounts that are in the process of being re-reconciled for possible return to the payee or to post to revenue. This has in some cases proved to be a demanding exercise where the funds have been returned but posted to another expense account, or the funds were deposited to the Shire's Bank account and it is not known why. The status of these accounts will form part of the monthly reconciliation processes commencing 31st December 2023	Will be reconciled by before 30 June 2024. (Sarah)
5	Accounts Payable Suspende Accounts			✓	We noted that the trade and other payables balance reported in the annual financial report at 30 June 2023 included suspense accounts (general ledger account 163810 and 161800) with a balance of \$11,300, a slight increase as compared to the prior year. This finding was first reported in 2021 and remains unresolved.	Lack of regular and timely review of transactions in the suspense account increases the risk that transactions may not be correctly classified and that balances could be misstated. Suspense accounts are temporary accounts that must be closed at the end of the financial year.	We recommend that transactions in the suspense accounts are reviewed on a regular basis and posted to the appropriate accounts. Suspense accounts should be reconciled at year end.	Same comment as per finding 4 The status of these accounts will form part of the monthly reconciliation processes commencing 31st December 2023	Completed by 30 June. AccWest.

	6 Inadequate records of signed agreements			<p>We noted that the Shire's Road Access - Upgrade &amp; Maintenance Deed agreement with Yangibana Pty Ltd dated 25 August 2022 was only signed by the Shire. The Shire could not provide us with a copy of the agreement that was countersigned by Yangibana Pty Ltd.</p> <p style="text-align: center;">✓</p>	<p>There is a risk that the contract is not legally binding.</p>	<p>Management should ensure that there are adequate records of all contracts that are entered into by the Shire, and that copies of contract that are signed by all parties to the agreement are retained on file.</p>	<p>The Shire will seek to source a copy of the agreement signed by Yangibana Pty Ltd. Yangibana have paid the Shire a bond of \$100,000 as per the agreement, so we believe the contract is legally binding.</p>	<p>Completed. SEEMA</p>
--	-------------------------------------------	--	--	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------

Ref#	Finding	Significant	Moderate	Minor	Assessment	Implication	Recommendation	Management Comment	Followup comments
FINAL AUDIT FINDINGS 30 JUNE 2025	1.Bank signatories not updated		✓		During our review of the bank confirmation, we noted that a former employee remains listed as a bank signatory on the Shires' ANZ bank accounts	There is a risk of inappropriate authorisation of payments that could potentially be made as a former employee remains as a bank signatory.	We recommend that the management continue to follow up with the bank to ensure only current authorised employees are listed as bank signatories on the bank accounts.	The bank was notified of the change in authorised signatories, and have followed up with ANZ to request that the update be processed as a priority. We will continue to liaise with the bank until confirmation is received that the former employee has been removed. Management will also perform periodic reviews of all bank signatories to ensure they remain current and accurate.	Responsible person: Accountant Completion date: 18/11/2025
FINAL AUDIT FINDINGS 30 JUNE 2025	Unclaimed monies		✓		We noted that the payable balances in general ledger account 163910, that holds excess monies owed to ratepayers, had a net outstanding balance of \$6,647 at 30 June 2025, in which we noted that there have been no movement compared to the previous year.  Under the Unclaimed Money Act 1990, monies that have been held for over 6 years without being successfully returned to the rightful owner are deemed to be unclaimed.  This finding was first reported in 2021 and remains unresolved.	There is a risk that trade and other payables may be misstated, and the Shire may be in breach of the Unclaimed Money Act 1990.	We recommend that the Shire actively reconciles their unclaimed monies balance and management transfer any unclaimed monies held by the Shire for 6 years or more to the Department of Treasury and Finance, where they have been unable to contact the relevant ratepayers.	Staff are in the process of contacting customers regarding refunds of amounts held. As known from previous years comments, customers were not contactable which is still the case. Shire will be implementing a process to reconcile this account every quarter.	Responsible person: Accountant Currently awaiting advice regarding Local Government Responsibilities
FINAL AUDIT FINDINGS 30 JUNE 2025	Accounts Payable Suspense Accounts			✓	We noted that the trade and other payables balance reported in the annual financial report at 30 June 2025 included suspense accounts (general ledger account 163810) with a balance of \$11,698.50, a slight increase of \$398 as compared to the prior year.  This finding was first reported in 2021 and remains unresolved.	Lack of regular and timely review of transactions in the suspense account increases the risk that transactions may not be correctly classified and that balances could be misstated. Suspense accounts are temporary accounts that must be closed at the end of the financial year.	We recommend that transactions in the suspense accounts are reviewed regularly and posted to the appropriate accounts. Suspense accounts should be reconciled at year end.	Staff have been reconciling and reviewing this account. \$9,799 relates to deposits for a development in Coral Bay that we are seeking archived records for, to confirm if the works associated with the development are complete. The slight increase related to overpayment of accommodation, which will be refunded in FY 25/26. Moving forward Shire will be implementing a process to reconcile this account every quarter.	Responsible Person: Accountant Currently ongoing - Significant work has been undertaken in recent months. Balance is currently \$3,515.16 with investigations still pending

Shire of Carnarvon  
Finance Department Review Findings

Ref#	Finding	Significant	Moderate	Minor	Assessment	Implication	Recommendation	Management Comment	Followup comments
1	5.2.1 Policy Reference to Legislation and External Information	✓			To support the link between Council policy, legislation and other information sources.	We noted some policies contain specific detail relating to legislation and other external references, including: •CF006 Financial Hardship •CF012 Rates Charges This practice may result in conflict between the policy and legislation or guidance in the instance of a change in legislation, guidance, or other external references.	Update policies to remove specific and / or detailed references to legislation and other external references to assist with maintaining appropriate alignment and consistency in Council policies. <b>Question: Why recommendation is not to link the legislation to the Policies Council is following?</b>	• Finance Officer Rates, Finance Officer Debtors & SFO Operation to read the Debtors Policy and link it to the legislation to avoid any conflict	Ongoing
2	5.2.2 CF001 Purchasing and Procurement				Policy providing a best practice approach and procedures for purchasing. Ensure consistency for all purchasing activities which integrate with all operational areas. Requires compliance with the Local Government Act 1995 and Functions and General Regulations 1996.	• The policy provides limited direction regarding contract variations and extensions awarded or against a written specification not awarded by tender. Extension of contracts and associated price changes are also not covered by the policy. For contracts awarded by tender, legislation provides minimum requirements. • Purchasing requirements for procurement of goods or services in accordance with the exemptions under Local Government (Functions and General) Regulations 1996 Regulation 11(2), are not consistent within the policy. The CEO is required to ensure controls exist for all purchases including those made using these exemptions. Testing the market through sourcing multiple quotations when applying policy exemptions is one mechanism available to demonstrate such controls are in place, regardless of whether the quotations are being sought from pre-qualified suppliers, WALGA Preferred Supply Contracts or other suppliers. • Authorisation for a sole source of supply arrangement considered under the policy is able to be approved by an authorising officer with the required level of purchasing authority. Requirements to evidence market testing when applying the exemption are not considered sufficiently detailed in the policy or associated	• Purchasing requirements for the issuing of contract variations and extensions for contracts not awarded by public tender. Consideration should be given to circumstances where the contract value increases over a policy threshold level, due to the variation or extension. • Insert purchasing requirements for procurement of goods or services made under the exemptions under Local Government (Functions and General) Regulations 1996 Regulation 11(2). • Require CEO approval to only obtain a single quote under sole source of supply exemptions and implement procedures to define requirements for exercising the exemption. Procedures should aim to assist with accountable processes and transparent decision making with purchasing activities to report the circumstances, occasions and purchasing values where the sole supplier policy provision is exercised.	• Finance Officer Procurement and Senior Finance Officer to read through the Policy of Procurement and Tenders, amend and implement reporting templates for any contracts awarded.	Completed. This is available in the Policy Manual endorsed in 2022. Section Purchasing and Procurement is analysed properly on each policies and process to be followed. Monitoring needs to be done by the Finance team to ensure this is followed in any circumstances.
3	5.2.3 CF013 Significant Accounting Policies				Policy to guide the Shire's financial framework in addition to the Australian Accounting Standards (AAS).	Formalisation of accounting policies may result in a conflict with information prepared in annual financial reports required to be prepared in accordance with AAS and the Local Government Financial Management Regulations 1996, given accounting policies with the budget and annual financial report may differ when prepared at the same time but relate to different financial years.	To avoid conflict with the standards and legislation the policy should not include legislative and standards requirements and should enhance these requirements or provide a policy decision where an accounting standard allows a policy choice. Consider rescinding the policy and adopt accounting policies annually within the Annual Statutory budget. <b>Question: Can this be explained further to correct our understanding?</b>		
4	6.1.1 Information Communications Technology (ICT) Strategic Plan				Plan to guide the future development and delivery of ICT services	An ICT Strategic Plan highlighting and addressing ICT risks and how they are to be addressed was not available for our review.	Develop an ICT Strategic Plan identifying and documenting key ICT risks along with the treatments to reduce the risk to an acceptable level.	ICT Department to be advised to look into a Strategic Plan on ICT of the Council. Refer to Link: <a href="https://www.dlgs-wa.gov.au/local-government/strengthening-local-government/integrated-planning-and-reporting/ict-strategic-framework">https://www.dlgs-wa.gov.au/local-government/strengthening-local-government/integrated-planning-and-reporting/ict-strategic-framework</a>	In progress. ICT working on IT Framework.
5	6.1.2 ICT Disaster Recovery Plan				Plan to address the handling of ICT disaster recovery.	Staff advised an Information and Communication Technology Disaster Recovery Plan has been prepared, however evidence of the plan being tested to ensure its validity was not available for review.	Maintain, review and test the ICT Disaster Recovery Plan to ensure its validity. Identify and document key ICT risks, along with the treatments to reduce the risk to an acceptable level.	ICT Department to run a demonstration on the plan, on quarterly basis and provide report to the Council.	Ongoing
6	6.1.3 Business Continuity Plan				Plan to facilitate organised decision-making in the event of a major incident impacting the Shire's ability to continue normal operations.	Business Continuity Plan was not available for our review.	Develop a Business Continuity Plan and test it to ensure its validity. The plan should facilitate organised decision making in the event of any major disruption impacting the Shire's ability to continue normal operations, with testing involving relevant and key personnel to ensure validity of the identified risks and treatments within the plan.	Deputy Chief Executive can lead a team to develop the Business Continuity Plan. Team leaders of all departments to be part of it. Refer to Link: <a href="https://www.diamantina.qld.gov.au/downloads/file/19/business-continuity-plan-pdf#:~:text=Business%20Continuity%20Plan%20A%20document,on%20emergency%20or%20disaster%20occur">https://www.diamantina.qld.gov.au/downloads/file/19/business-continuity-plan-pdf#:~:text=Business%20Continuity%20Plan%20A%20document,on%20emergency%20or%20disaster%20occur</a>	In progress.
7	6.1.4 Long Term Financial Plan				Financial report to achieve the strategies set out in the Council's Strategic Community Plan.	A current Long Term Financial Plan was not available for review. Although there is no documented requirement for timing of reviews, it is a key tool (aligned to the Corporate Business Plan and annual budget) for ensuring long term financial health.	Review the Long Term Financial Plan to monitor financial health and maintain effective alignment with Integrated Planning and Reporting documents.	Senior Finance Officers to develop the plan and discuss with Deputy CEO.	Draft completed.
8	6.1.5 Asset Management Plan				Plan prepared to assist the Shire to improve the way it delivers services through its infrastructure assets such as roads, drainage, footpaths, public open space and buildings.	A current Asset Management Plan was not available for review. Although there is no documented requirement for timing of reviews, it is a key tool (aligned to the Corporate Business Plan and annual budget) for ensuring financial sustainability.	Review and update the Asset Management Plan to maintain effective alignment with Integrated Planning and Reporting documents.	Draft completed by consultant. Ben Symons	Infrastructure Department reviewing plan

9	6.2.1 Operational Procedures			To provide direction to staff in the delivery of day-to-day operational tasks, as well as guidance for expected processes, systems, and controls to be maintained.	A number of formalised procedures for some key financial operational functions were noted during our review, however many of these procedures have not been formally reviewed and updated in recent years. Documenting and maintaining financial functions through checklists, flow diagrams or documented procedures are key elements in establishing, understanding and enforcing financial controls.	Undertake a review of existing operational procedures, and where required develop and implement additional procedures, to provide operational guidance aligned with adopted Council policies and legislation. Procedures should provide for activities not necessarily covered by legislation to communicate expected standards to staff from the CEO, in the course of implementing strategic direction and decisions of Council. Consistent maintenance of documented procedures and checklists, and / or workflow process diagrams may assist in clearly identifying controls and processes to be followed.	Senior Finance Officer Operations to look into the current policies and recommend suggestions to improvement and have a robust system in place.	Ongoing
10	6.2.2 Procedure Changes			Process to control and manage change to procedures.	Process for amending or changing procedures has not been formalised. This creates opportunities for unilateral unauthorised changes to procedures and a breakdown in key controls.	Establish a process for the development, review, amendment and authorisation of procedures, checklists and other internal control documentation, throughout the Shire to assist with managing changes to procedures.	Deputy Chief Executive to implement this and discuss with the Council as a report and adopt in council meetings.	In Progress
11	6.2.3 Risk Management Procedures			Procedures and practices to set out a uniform approach to the identification, assessment, management, reporting and monitoring of risks.	Some risk management activities currently undertaken are largely undocumented.	<ul style="list-style-type: none"> <li>Risk management should underpin the financial management of the Shire as such implementation of risk management procedures is considered important.</li> <li>Risk management procedures and processes are to be developed in accordance with the latest risk management standard (ISO 31000:2018).</li> <li>Implement risk management procedures and processes throughout the whole organisation.</li> </ul>	Deputy Chief Executive to implement this and discuss with the Council as a report for adoption. Refer to link: <a href="file:///C:/Users/dutt.s/Downloads/shire-of-broome-risk-management-strategy-and-procedures.pdf">file:///C:/Users/dutt.s/Downloads/shire-of-broome-risk-management-strategy-and-procedures.pdf</a> -Refer to Policy manual page 122	
12	6.2.4 ICT Security			Procedures and practices to ensure the security of ICT information, systems and data.	The Shire is reliant on the advice of ICT consultants to maintain the security of the ICT system, with no independent oversight or review. From staff representation and our understanding of ICT controls we noted no formal process was in place to review, monitor and control access to financial records.	Undertake a comprehensive independent ICT security review, document current policies and practices, and implement findings of the review. This review should be undertaken by those with the appropriate expertise, skills, qualifications and credentials and independent of current ICT providers.	ICT Department to draft the policies and procedures on this.	
13	6.2.5 Records			Procedures and practices to ensure the appropriate maintenance and recording keeping of physical and digital financial records.	Based on our enquiries with staff, regular refresher training for the use of the records system is not currently in place to support and direct staff and contractors to the appropriate procedures to save records in accordance with the Shire's record keeping plans and policies. This may increase risks associated with compliance with required record keeping controls. Where compliance with required controls is low, information may become compromised in that deletions, loss and compromised security or confidentiality of records may occur.	Review systems and processes to monitor the practice of financial record keeping within the organisation and identify any misuse and correct appropriately. Ensure currency of the Record Keeping Plan and implementation of any improvements noted within the plan, including self evaluated improvements, ongoing training and any actions noted by the State Records Office.	Senior Finance Officers to develop the plan and discuss with Deputy CEO.	
14	6.2.6 Corporate Transaction Cards			Systems and processes to control use of Corporate Credit / Transaction Cards held.	<ul style="list-style-type: none"> <li>We noted two instances through our testing where credit card expenses were not reviewed and approved by an independent more senior member of staff. Staff representations indicate procedures have been updated to ensure future reviews are performed and evidenced.</li> <li>Our limited testing noted an instance where the tax invoice and support documentation for a credit card transaction did not reconcile with the charge incurred.</li> <li>Signed agreements for corporate credit and transaction cards were not available for our review. As well as credit cards, Policy CF010 Corporate Credit Cards encompasses broader corporate transaction cards including fuel cards, for which user agreements have not been established.</li> <li>We noted limited compliance with policy CF010 in relation to fuel cards, including: <ul style="list-style-type: none"> <li>Documentation to support transactions being routinely maintained or acquitted; and</li> <li>Inadequate processes and controls for lost cards.</li> </ul> </li> <li>Formal process to monitor fuel stock purchased and allocated were not available. It was also observed the practice of sharing fuel cards routinely occurs. Allowing the practice of using cards to refuel vehicles other than the card assigned to a Council vehicle will hinder the detection of potential misuse. Fuel is recorded as it is allocated through creditors processes and reviewed for reasonableness periodically, however controls to reconcile fuel usage against purchases are considered inadequate.</li> </ul>	<ul style="list-style-type: none"> <li>Review, update and maintain procedures to require cardholders to review and certify expenses incurred on their credit cards each month, which are subsequently reviewed by an independent more senior member of staff.</li> <li>Maintain updated systems and processes relating to credit cards, to ensure adequate controls exist relating to compliance with adopted policy and approved procedure requirements. These should also provide for robust control and review processes prior to payments being deducted through automated bank payments.</li> <li>Ensure agreements are signed by all corporate transaction card holders to comply with Policy CF010 Corporate Credit Cards.</li> <li>Review systems and procedures to ensure all credit card holders have acknowledged and signed the documentation setting out cardholder responsibilities and legal obligations when using Shire corporate transaction cards. Ensure corporate transaction cards are issued only after this has occurred and documentation has been appropriately filed as required.</li> <li>Develop and implement procedures for the monitoring of fuel purchased in an effort to detect any issue or potential misuse with cards. Procedures should provide for standard procurement systems and controls to be maintained when purchasing fuel.</li> </ul>	Senior Finance Officer Operations to provide a report on the current process and procedures used. Same reconciliation shall form part of monthly reports submission.	Completed.
15	6.2.7 Procurement			Procedures for the procurement of goods or services.	Through our limited testing, we noted the following: <ul style="list-style-type: none"> <li>An instance where items were added to a purchase order after it had been authorised; and</li> <li>An invoice did not pre-date the purchase order.</li> </ul>	All procurement of goods or services should be undertaken in accordance with the purchasing policy and associated procedures. A review of the purchasing procedures may be required to ensure controls are practical and addresses identified procurement risks, including prevention of changes to authorised purchase orders. Any instances where a purchase pre-dates a purchase order should be documented, reviewed and authorised to demonstrate controls have been developed to comply with and ensure the purchasing policy has been adhered to.	Finance Officer Procurement and Senior Finance Officer Reporting shall look into the policies and amend.	Completed.

16	6.2.8 Outstanding Purchase Orders			Process to ensure invoices are being processed in a timely manner and in accordance with the purchasing policy.	We did not observe any formal procedures relating to the routine monitoring of and clearance of outstanding purchase orders. Regular review of outstanding purchase orders should be undertaken to assist with monitoring the value of and status of associated liabilities.	Regular review of outstanding purchase orders should be undertaken to assist with monitoring the value of and status of associated liabilities. Establish procedures to include routine review of the status of outstanding purchase orders. Ensure any controls developed are routinely and consistently applied.	Finance Officer Procurement and Senior Finance Officer Reporting shall look into the policies and amend.	On-going.
17	6.2.9 Changes to Banking Details			Controls to validate banking change requests.	We identified weaknesses in the formal procedure to change supplier banking details.	Formal procedures relating to changes to banking details should be updated to ensure sufficient controls exist in both substantiating the change request and the changes performed within the Shire's ERP system. Review and update procedures to ensure the following matters are appropriately considered, documented and controls are adequate to: <ul style="list-style-type: none"> <li>• validate the change request and its origin;</li> <li>• Authority exists for the change request; and</li> <li>• Validate and control the changes once completed.</li> </ul>	Senior Finance Officer Operations to provide a report on the current process and procedures used. Same reconciliation shall form part of monthly reports submission.	On-going. Audit trail reports being verified for each creditor on a weekly basis.
18	6.2.10 Electronic Banking Transactions			Process to reduce opportunity for fraudulent activity with electronic banking.	We noted access to the ABA file from the time of generation to the time of upload to the bank is not adequately restricted with minimal verification process undertaken to ensure the ABA file is unmodified when uploaded to the bank. This may present risk of fraudulent manipulation of the ABA file.	Improve controls to minimise the risk of electronic banking details being fraudulently manipulated through secure storage of ABA banking files. Controls should exist to restrict access to these files, and to detect and prevent any unauthorised changes being made.	Senior Finance Officer Operations to provide a report on the current process and procedures used. Same reconciliation shall form part of monthly reports submission.	Ongoing.
19	6.2.11 Revenue Controls at Shire Facilities			Procedures and systems for the collection of revenue and handling of cash at Shire facilities.	Weaknesses in revenue controls for the collection of fees and charges, sale of goods and provision of services at some Shire facilities were noted during our review. We noted some systems and processes are heavily reliant on manual systems and the comprehension of required actions by staff, with limited monitoring and review of records from facilities to reconcile transactions performed through the administration office. We noted the following: <ul style="list-style-type: none"> <li>• Erroneous invoices being issued, requiring credit notes to be raised and in some instances recommendations for write off of receivables; and</li> <li>• Breakdowns in controls where invoices were not raised in a timely manner. - Security controls for cash held for some business units are considered inadequate. Controls are not consistently documented to ensure appropriate review and authorisation processes occur in relation to the management and handling of cash by staff and contractors.</li> </ul>	Review and update systems and processes to determine practical procedures, documentation and controls for the sale of goods and provision of services at Shire facilities. Procedures should ensure routine compliance with regulatory requirements, include appropriate controls to monitor, review and reconcile reports and demonstrate greater transparency and control between the administration office facilities. <ul style="list-style-type: none"> <li>• Ensure access to any cash held is restricted only to authorised personnel through secure storage and where possible, significantly reduce the potential amount of cash received through alternate means. Implement appropriate documented procedures and controls for cash maintained including processing of cash receipting. Processes should also include reference to insured amounts relating to cash, to ensure adequate insurance levels are maintained.</li> </ul>	Senior Finance Officers to develop the policies and procedures of each revenue streams and discuss with Deputy CEO.	Ongoing on a daily basis.
20	6.2.12 Rates			Rates are correctly imposed and rate system is properly maintained.	Routine reviews of rate exempt properties as defined by section 6.26(2)(g) of the Local Government Act 1995 appear to be undertaken informally. Staff representations indicate formal controls to guide and evidence the review process are under development.	Progress the development of and maintain systems and processes whereby routine reviews are undertaken of rate exempt properties within the Shire, confirming these properties are used exclusively for rate exempt purpose.	Finance Officer Rates to have this in end of month rates report.	Ongoing on a monthly basis.
21	6.2.13 Interest on Rates Instalments			To determine the interest rate to be imposed where payment of a rate or service charge is made by instalments	Notes to the 2021/22 & 2022/23 statutory budget state interest rates to be imposed on rate instalments is set at 6%. The adopted schedule of fees and charges also sets out the instalment interest rate be set at 6%. The maximum interest rate permitted by regulation 58 of the Local Government (Financial Management) Regulations 1996 is 5.5%.	Ensure future adopted interest rates applied to rates instalments do not exceed regulatory or legislative provisions.	This shall be adopted in every budget and followed through Local Government Act.	Budget Review 24/25 shall have this adopted at the right percentage.
22	6.2.14 Fixed Assets			Fixed Assets are properly accounted for and controls are operating effectively	<ul style="list-style-type: none"> <li>• Entries and reconciliations of fixed asset acquisition, disposal and adjustment of assets into the fixed assets register for the 2022-23 financial period had not been processed until the December 2022 reporting period, due to delays with completion of the 2022-23 audit.</li> <li>• Support documentation for some asset additions selected for testing were not available for our review and unable to be tested.</li> </ul>	Review system processes to ensure regular and timely preparation of asset reconciliations, including review and authorisation by an independent officer.	Senior Finance Officer Reporting to look into this with Megan.	Completed.
23	6.2.15 General Journal Entries			Journals are initiated processed which are independently reviewed and approved.	There are limited documented internal control procedures for general journals and limited controls relating to the posting of journals through the Shire's ERP. We noted review and evidence of review of journals after posting has not been consistently maintained.	Document internal controls to ensure journals requests initiated are reviewed and approved/authorised prior to posting by an appropriate officer, the practice of independent review is consistently maintained, and evidence of review is routinely applied. A monthly journal audit trail report should be produced and independently reviewed and confirmed to previously approved journals prior to preparation of the monthly statement of financial activity.	Senior Finance Officer Reporting to look into this with Megan.	Ongoing.

24	6.2.16 Stock Control			Process to ensure stock is correctly allocated and monitored as to reduce the potential for theft or misappropriation.	<ul style="list-style-type: none"> <li>Stocktakes were noted to have been undertaken at some Shire facilities for certain inventory items, however the level of independence for the stocktake and verification is not considered adequate. Inventory working papers note stock being recommended to be written off to balance the stock on hand value to the stocktake performed with no explanatory detail to support the write offs.</li> <li>Processes to monitor some fuel stock allocated through bulk fuel stores are considered inadequate. Fuel is recorded as it is allocated and reviewed for reasonableness by management each month.</li> </ul>	<ul style="list-style-type: none"> <li>Review and update systems and procedures relating to stock controls at Shire facilities, including permission/authorisation requirements for stock write offs. Routine / periodic stocktakes should minimally include reconciliation of stock movements against sales and independent review of data etc. Ensure appropriate controls exist to evidence independent review of data as required.</li> <li>Develop and implement procedures for the monitoring of fuel stores in an effort to improve opportunities to detect any issues or potential misuse with fuel allocations.</li> </ul>	Senior Finance Officer Reporting to look into this with Megan.	Ongoing on a monthly basis. Fuel reconciliation.
25	6.2.17 Overhead & Administration Allocations			To allocate indirect costs in a practical and efficient manner.	No process is currently in place to determine the allocation of indirect costs for plant or public works overheads. From staff representations, current allocation rates are based on historical estimates and no calculation method to support the allocations was available for review.	<ul style="list-style-type: none"> <li>Undertake a review of activity-based costings to support calculation of overheads.</li> <li>Question: Can this be explained further to correct our understanding?</li> </ul>		Part of 24/2025 budget preparation.
26	6.2.18 Trust Fund			Controls to ensure no errors exist in the transactions for the trust fund account.	<ul style="list-style-type: none"> <li>The trust fund currently includes bonds, deposits and other transactions. These other transactions include unclaimed monies and suspense account transactions. It is understood from staff representations, the Trust Fund has been undergoing examination to correctly allocate bonds and deposits.</li> <li>Limited processes were noted to monitor transactions in the trust fund to ensure only amounts required to be in the trust fund are maintained within the fund.</li> </ul>	<ul style="list-style-type: none"> <li>Remove all funds which are not required by law to be held in the trust fund, and transfer to the Municipal Fund, in line with the Office of the Auditor General (OAG) position paper on Accounting for Work Bonds, Building Bonds and Hire Bonds released in July 2019.</li> <li>Develop a process to monitor the trust fund to ensure only required funds are kept in the fund.</li> </ul>	Senior Finance Officer Operations to provide a report on the current status of the account.	In progress.
27	6.2.19 Bank Reconciliations			Processes for the control of the Shire's cash at bank.	Reconciliations for the bank were not always conducted in a timely manner from samples selected for our review. Staff representations detail this was being due to the unavailability of key staff to perform the task. Bank reconciliations are a key control and any untimely, non-reconciled bank accounts are considered a high risk to an organisation.	Progress completion of bank reconciliations for the 2022/23 period as a matter of urgency. Review systems and processes to ensure staff capacity for the regular and timely completion and review of bank reconciliations.	Senior Finance Officer Operations to provide a report on the current status of the account.	Ongoing on a monthly basis.
28	6.2.20 Monthly Statement of Financial Activity			Monthly statements of financial activity prepared in accordance with legislative requirements.	<p>We noted some information was not included in the documents supporting the statement of financial activity as required by regulation 34 of the Local Government (Financial Management) Regulations 1996:</p> <ul style="list-style-type: none"> <li>Annual budget estimates;</li> <li>Year to date budget estimates; and</li> <li>Explanation of material variances.</li> </ul> <p>This occurred for the monthly statement of financial activity for the period ended 31 July 2022, and was a result of the 2022/23 budget having not been adopted at the time the statements were prepared.</p>	Ensure future monthly statements of financial activity are completed to contain all items required by legislation.	Senior Finance Officers to work on this with Megan	Ongoing on a monthly basis.
29	6.2.21 Annual Report			Ensure the annual report contains all information required by legislation, is accepted by Council and published to the local government website as required.	<p>The 2020-21 annual report did not include all information required by legislation, namely:</p> <ul style="list-style-type: none"> <li>Remuneration paid or provided to the CEO during the financial year; and</li> <li>Information on payment to employees entitled to an annual salary of \$130,000 or more is required to be reported by each band of \$10,000 over \$130,000.</li> </ul> <p>Although information relating to payments made to employees is included in the annual report, the table references the 2019-20 financial year.</p>	Ensure future annual reports include all information required by legislation.	Deputy CEO with CEO can prepare a checklist in terms of requirement to Annual Reports which can be checked and verified by Council EA.	Ongoing. Annually.
30	6.2.22 Regulatory Reporting			To submit financial reports and budget reviews to the Department of Local Government, Sport and Cultural Industries (DLGSC) within regulatory timeframes.	<p>Evidence to support submission of the following to DLGSC was not available for our review:</p> <ul style="list-style-type: none"> <li>2021-22 mid year budget review to the Department within 30 days of council making a determination as required by the Local Government (Financial Management) 1996 Regulations regulation 33A (4);</li> <li>2022-23 adopted annual budget within 30 days of adoption by Council as required by the Local Government Act (Financial Management) 1996 Regulations regulation 33.</li> <li>2021-22 annual financial report within 30 days of the receipt of the audit report by the CEO as required by the Local Government Act (Financial Management) 1996 Regulations regulation 51 (2).</li> </ul>	Review systems and procedures to ensure future regulatory compliance and timeframes are able to be met.	Deputy CEO will need to set a deadline on receiving reports from respective departments for timely completion of budgets.	Ongoing. Reports being submitted as per deadlines.
31	6.3.1 Leave Entitlements			Procedures to ensure proper recording of leave accruals and entitlements.	<ul style="list-style-type: none"> <li>Parameters within the payroll system may allow for leave applications for employees with insufficient leave entitlements to be approved with no notification leave will enter a negative balance. This was noted to have occurred for some employees following implementation of a new payroll system.</li> <li>Staff representations noted parameters to control leave approvals may not be sufficient, in that leave applications can be approved en masse rather than by individual employees. This is not captured in audit trails and an occurrence of this nature would result in onerous and labour intensive corrective actions.</li> </ul>	Given current controls are highly reliant on the awareness, intervention and knowledge of current personnel, a full review of procedures and controls is required to determine practical procedures, documentation and controls for the authorisation of leave entitlements. Routine monitoring and review of payroll and leave reports should be undertaken to capture anomalies to assist timely identification and remedy of errors.		In progress. Definitive

32	6.3.2 Payroll Audit Trails			Procedure to allow for appropriate review and approval of changes made within the payroll system.	While reviews of changes made to employee master file and parameters appears to be occurring when each payroll is processed, limitations to the effectiveness of payroll audit trails currently exists. This appears to be the result of inadequate reporting parameters which may result in omissions and errors in generated reports. We noted changes captured in the audit trail report did not include details of the staff member making the change in all instances.	Procedures to minimise the risk of erroneous or unauthorised changes to employee details should be implemented. Regular reviews of software audit trails should be undertaken as a minimum. Where possible, segregation of those responsible for processing payroll transactions to staff able to make changes to the employee master file. Payroll exception reporting and review of audit trails should be undertaken to capture anomalies or unauthorised changes. Where effectiveness of audit trails is limited, alternate programs or controls to provide appropriate level of review to effectively detect fraud, errors or omissions should be developed.		Ongoing.
33	6.3.3 Payroll			Procedures and practices to allow for appropriate review, processing and approval of fortnightly payroll.	<ul style="list-style-type: none"> <li>In the course of our review, we noted instances where evidence of preparation, review and authorisation of fortnightly payroll reports was not recorded.</li> <li>Payments to third parties processed through payroll deductions were not always processed in a timely manner.</li> <li>Through our limited testing, we noted instances where evidence of correspondence on employee files to support the current rate of pay applied through the payroll was not available, or documentation to support pay rate increases does not contain sufficient detail to support the current pay rate. We observed more recent documentation notifying employees of any changes to their agreed remuneration entitlements contains more clarity and detail to communicate the changes being made and this practice is encouraged to continue.</li> </ul>	<ul style="list-style-type: none"> <li>Implement documented procedures to ensure adequate controls are consistently followed with regard to preparation, review and authorisation of fortnightly payroll reports, with appropriate evidence of these reviews consistently recorded.</li> <li>Review and update systems and controls to ensure payments to third parties from employee payroll deductions are processed in a timely manner following each payroll.</li> <li>Ensure contracts of employment, defining roles, responsibilities and remuneration, are signed by both parties prior to employment commencing for all staff. Where a change to employee conditions takes effect, such as award increases, consider a mechanism to communicate the change to employees. The practice of updating employment agreements where a change in roles and responsibilities should also continue.</li> </ul>		Ongoing.
34	6.4.1 Insurance Claims Register			Register of insurance claims to provide high level monitoring of risks	An insurance claims register detailing claims made against and by the Shire was not available for review.	Develop and maintain an insurance claims register or alternatively develop systems within the risk register to monitor and manage insurance claims.	Senior Finance Officer Reporting to look into this with Megan.	Completed.
35	7.1.1 Council and Committee Minutes			Official record of proceedings and decisions.	We noted instances where details of two decisions made at the ordinary meeting of Council held 24 January 2023 relating to tenders were not recorded in the minutes. The decisions both refer to a 'schedule of rates' which were included as a confidential attachment to the agenda item, and not published in the minutes of the meeting. Regulation 11 of the Local Government (Administration) Regulations 1996 requires details of each decision made at Council and committee meetings to be recorded in the minutes, and also requires documents attached to an agenda to be attached to the minutes unless the meeting or that part of the meeting to which the document refers is closed to members of the public.	Review procedures for recording of official minutes to ensure all detail, decisions and documents / attachments required to be recorded by legislation are captured.	The CEO to see that the meetings by-laws to be adhered to always.	
36	7.2.1 Financial Interest Register			Records details required under the Act relating to financial circumstances of relevant persons.	Some primary and annual returns recorded in the register are not in the prescribed form required by legislation. At the time of our review, a new system was being implemented to manage future returns in the correct format. At the time of our review, maintenance of register of financial interests was not in accordance with legislative requirements, in that some recent primary and annual returns were being maintained electronically, with older returns being maintained in hard copy. Section 5.88 of the Local Government Act 1995 requires the financial interest register to contain: <ul style="list-style-type: none"> <li>Primary and annual returns, and</li> <li>A record of disclosures made under sections 5.65, 5.70, 5.71 and 5.71A.</li> </ul>	Update the Financial Interest Register to include all disclosures as required by legislation. Ensure procedures are in place to capture and record information in the prescribed format and as declarations are received.		
37	7.2.2 Tender Register			Statutory register of tenders called.	On inspection of the tender register we noted two instances where the summary value of the successful tender was not recorded in the tender register or available through the minute record awarding the tender.	Ensure the tender register complies with Regulation 17 of the Local Government (Functions and General) Regulations 1996 for any future tenders called.	Finance Officer Procurement to ensure this which needs to form part of monthly report and signed off by Senior Finance Officer Reporting	In progress

38	7.2.3 Investment Register			Register of investments held to evidence the nature and location of all investments and all transactions in relation to investments.	An investment register was not available for our inspection detailing the nature and location of all investments and all related transactions.	Recording the nature and location of all investments and related transactions is required by Regulation 19 (2) of the Local Government (Financial Management) Regulations 1996. Tracing of funds on maturity of investments is essential and record of where funds are transferred and who authorised the transfer should be maintained within the register. Maintaining printed copies of the investment register, reviewed and authorised by a senior manager, independent of the control of the investments, prevents subsequent amendment to the register.	Senior Finance Officer Operations to provide a report on this.	Completed.
39	7.4.1 Internal Audit			Internal audit monitors the level of compliance with internal procedures and process along with assessing the appropriateness of these procedures.	Currently, no internal auditors have been appointed, and limited internal audit functions have been undertaken.	We suggest as the level of documented procedures increases, an expanded internal audit function to confirm adherence to documented policies and procedures may be required as recommended by the OAG in their report to Parliament on the Audit Results Report – Annual 2017-18 Financial Audits of Local Government Entities.		LG Best Practice have been engaged to complete an Internal Audit, audit due for completion 13/02/2026 and findings sometime after
40	7.4.2 Significant Audit Matters			To ensure action is taken to improve significant matters raised by auditors in the audit report.	A significant adverse trend was identified during the 2018-19, 2019-20 and 2020-21 audits, as well as significant audit matters in 2020-21. We noted: <ul style="list-style-type: none"> <li>• A report was not prepared stating actions intended to be taken in relation to the adverse trend noted or significant matters noted;</li> <li>• The report is required to be submitted to the Minister; and</li> <li>• The report is required to be published on the official local government website.</li> </ul> as required by legislation.	Ensure any future reports are prepared and published in accordance with legislation and within required time frames as required by section 7.12A of the Local Government Act 1995.	Senior Finance Officers to work on this with Megan	In progress
41	7.5.1 Financial Management Review			Review of the appropriateness and effectiveness of the Financial Management systems and procedures of the local government required to be undertaken every three years by Regulation 5(2) of Local Government (Financial Management) Regulations 1996.	A financial management review was last undertaken in May 2019, which is outside the time period required by Regulation 5(2) of Local Government (Financial Management) Regulations 1996.	Ensure the next review is undertaken within the next three years as required by legislation.	Senior Finance Officers to prepare a calendar on important dates for Finance matters.	Completed.

Shire of Carnarvon  
Finance Department Review Findings

Ref#	Finding	Significant	Moderate	Minor	Assessment	Implication	Recommendation	Management Comment	Followup comments
1	Implement task lists for the following: a. Monthly processes for each position. b. Preparation of the monthly financial statements. c. Preparation of the annual financial statements d. Preparation of the annual budget	✓			To ensure the monthly financial statements (MFS) are produced in a timely manner, with the highest level of accuracy, it is imperative that an End of Month task list is completed. This task list should reference the pathway to the supportive evidence which will prove the final figures used to compile the statements. Compiling and recording the supportive evidence at month end, will result in all the evidence being readily available for both the interim audit and annual audit.	Implementing changes to procedures can result in tasks taking longer to perform initially, however the changes will result in a reduction of errors and increased efficiency. End of Month task list will have the added benefit of uncovering any errors on a month-by-month basis and will result in the annual financial statements (AFS) being produced by the due date	Each staff member is accountable for the end of month tasks required to be performed in their job role. They should complete the relevant note in the monthly financial statements so they are aware of the relevance to the overall good governance of the local government. The task list will be signed by the responsible staff member and countersigned by their manager. A task list should also be used to prepare the annual budget and the annual financial statements		
2	Develop & implement a Finance Compliance Calendar				Establish an automatic reminder process to ensure staff can achieve deadlines. The tools within Office 365 should be utilised to set reminders well in advance to ensure deadlines are met.	Without a Finance Compliance Calendar Compliance requirements not completed. Compliance deadlines may be missed.	The Deputy CEO should be accountable for ensuring the finance compliance calendar is reviewed on a fortnightly basis.		
3	Conduct regular meetings to review both individual and team workload and/or assistance.				It is suggested that individual meetings and team meetings are held on alternate fortnights to address any concerns regarding workload and achievement of deadlines.	Lack of communication can lead to work place issues not being addressed. Deadlines not being met.	The senior finance officers should act as the team leads in this instance.		
4	Staff training				Currently, some tasks performed by the finance department can only be completed by one team member.	No back-filling of finance staff when absent from the office can cause delays in tasks being completed. Knowledge and skills loss when staff leave the Shire	All staff should be trained to provide relief to at least one additional position so they can assist each other during peak periods. They will also learn skills that may prove valuable in their career progression		
5	Continuous improvement initiatives				Emphasis should be placed continuous improvement initiatives	Process and improvement in efficiencies not achieved	Establish a training program to foster continuous improvement within the department.		
6	Career progression				Knowledge of career advancement/opportunities not being identified in finance department	Staff not motivated in current due to perceived lack of future opportunities	Develop a succession planning strategy to offer opportunities for growth and career advancement.		
7	Review Finance Department structure				Change the Manager of Finance position to a Senior Finance Officer position.	Revision of Finance Department structure needs to reflect current needs of the finance function	Review the structure of the finance department annually during the budget preparation process.		
8	Staffing levels				Support to assist the DCEO and provide relief hours to the finance department is required		Create a new position of Executive Assistant/Finance Officer		
9	Maintain Hybrid Model				Hybrid Model involves engaging a financial consultant/contractor	Current skill level and capability of finance staff to perform top end compliance work needs to be developed.	Engage a contractor to provide the "top end" financial services such as monthly financial statements, annual financial statements and annual budget		

10	Creditors			Time taken to process creditor payments is above benchmark comparisons.	Creditors function is at full capacity processing 230 creditor payments on average each month. The time taken to process these transactions is approximately 39 minutes which is above the average of 28 minutes. This equates to approx 40 hours per month above benchmark.	Efficiencies will be gained with the implementation of Altus Procurement and introducing electronic processing of invoices.		
11	Bank Reconciliations			Formal reconciliations not being performed and approved.	Monthly financial statements were produced without formal reconciliations being performed and approved.	Implementation of Altus Bank Reconciliation module. This new modules will result in significant savings in time, will increase efficiency and accuracy and enforce compliance.		

Issue ID (AVCRM Reference)	Airport	Title	Details	Severity	Reported Date	Inspection Type	Status	Resolved Date	Anticipated Resolution Date	Corrective Action Comments
253	YCAR	Records of an emergency exercise or site inductions could not be found - Aerodrome Technical Inspection (August 2025) - Finding AM 9.17.2 (Page 96 of 96)	ISSUE: Records of an emergency exercise or site inductions could not be found. CORRECTIVE ACTION REQUIRED: Complete an emergency exercise in October as planned.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	14/10/2025	14/10/2025	Emergency exercise executed at YCAR on Saturday 14 involving the following agencies: *Shire of Carnarvon *WA Police *Department of Fire and Emergency Services *St John Ambulance *Carnarvon Bush Fire Brigade *State Emergency Service All documents pertaining to the Airport exercise, inclusive or exercise details and summary of event are located within YCAR's management system AVCRM under document library - 'Emergency Management'
252	YCAR	The Aerodrome Emergency Preparedness Plan could not be found - Aerodrome Technical Inspection (August 2025) - Finding AM 9.17.1 (Page 96 of 96)	ISSUE: The Aerodrome Emergency Preparedness Plan could not be found. CORRECTIVE ACTION REQUIRED: Locate and review the AEP.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	7/01/2026	1/02/2026	Version 1.0 of the Carnarvon Aerodrome Emergency Preparedness Plan, dated 7 January 2025, has been formally issued and approved by the Airport Manager. The Plan is maintained as a controlled document within AVCRM, which is the operational source of truth, and is distributed to relevant internal and external stakeholders including the Local Emergency Management Committee, DFES, WA Police, St John Ambulance and other response agencies to support coordinated emergency preparedness and response. The Aerodrome Manual (Version 1.0 – January 2026) identifies the Aerodrome Emergency Preparedness Plan within the Aerodrome Emergency Response framework and confirms that emergency preparedness arrangements form part of the aerodrome's controlled documentation and review system. Based on aircraft movement and air transport activity levels for the 2024/25 financial year, Carnarvon Aerodrome is not required to maintain a formal Aerodrome Emergency Plan (AEP) under the Part 139 MOS threshold. Notwithstanding this, the Shire has adopted a proactive risk-based approach by developing and implementing a structured Aerodrome Emergency Preparedness Plan (AEPP) to strengthen operational readiness and inter-agency coordination. The AEPP: *Operates within the Shire of Carnarvon Local Emergency Management Arrangements (LEMA) *Defines agency roles, incident control interfaces and communication protocols *Is reviewed at least annually, or earlier where operational or organisational changes occur *Supports continuous improvement through preparedness activities and post-activation review processes.

251	YCAR	The risk management plan could not be found - Aerodrome Technical Inspection (August 2025) - Finding AM 9.16 (Page 95 of 96)	ISSUE: Aerodrome Technical Inspection (August 2025) - Finding AM 8.0 (Page 31 of 96) CORRECTIVE ACTION REQUIRED: Locate the Risk Management Plan.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	7/01/2026	1/02/2026	<p>The Carnarvon Aerodrome Risk Management Plan has been developed, approved and implemented. Version 1.0 of the Carnarvon Aerodrome Risk Management Plan, dated 7 January 2026, has been completed as a full rewrite.</p> <p>The Risk Management Plan:</p> <ul style="list-style-type: none"> <li>*Meets the requirements of Part 139 MOS Section 26.01 and has been prepared and implemented for Carnarvon Aerodrome</li> <li>*Is maintained by the Aerodrome Manager and stored in AVCRM under Documents – Risk Management Plan/s, which is the operational source of truth</li> <li>*Is available to aerodrome staff, contractors and relevant stakeholders in accordance with document control and governance requirements</li> </ul> <p>The Plan establishes a structured Safety Risk Management framework including:</p> <ul style="list-style-type: none"> <li>*Hazard identification and reporting through AVCRM</li> <li>*Risk assessment and treatment in accordance with the Shire’s risk methodology</li> <li>*Maintenance of an auditable aerodrome safety risk register</li> <li>*Ongoing monitoring of risks to ensure they are reduced to ALARP (As Low As Reasonably Practicable)</li> </ul> <p>Governance and assurance arrangements include:</p> <ul style="list-style-type: none"> <li>*Oversight through the Aerodrome Safety Committee function, integrated into the Shire’s Work Health and Safety Committee</li> <li>*Review of hazards, incidents and ATI/CASA findings</li> <li>*Annual review of the Risk Management Plan to ensure ongoing effectiveness and regulatory compliance</li> </ul>
250	YCAR	Previous technical inspection reports are missing - Aerodrome Technical Inspection (August 2025) - Finding AM 9.11 (Page 90 of 96)	ISSUE: Previous technical inspection reports are missing. CORRECTIVE ACTION REQUIRED: Ensure that the reports are recorded in accordance with the aerodrome manual.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	25/11/2025	25/11/2025	<p>All previous and current Aerodrome Technical Inspections (Electrical and OLS) are retained in the following locations:</p> <ol style="list-style-type: none"> <li>1. Within the YCAR management system, AVCRM, under the document library titled ‘Aerodrome Technical Inspection (Electrical &amp; OLS)’.</li> <li>2. Within the Shire’s record-keeping system, Synergy, in accordance with the Shire’s Record Keeping Policy, under file ADM1805: Traffic and Transport – Audit – Carnarvon Airport Annual Technical &amp; Electrical Inspections, CASA Compliance Notices.</li> <li>3. On the Shire’s shared drive at: S:\CEO\Airport\Annual Inspections.</li> </ol>
249	YCAR	The recording of vehicles airside in accordance with section 3.5.2 of the manual has not occurred - Aerodrome Technical Inspection (August 2025) - Finding AM 9.7 (Page 86 of 96)	ISSUE: The recording of vehicles airside in accordance with section 3.5.2 of the manual has not occurred CORRECTIVE ACTION REQUIRED: Obtain compliance statements for all airside vehicles as per section 3.5.2 of the manual.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Job Assigned		1/05/2026	<p>The YCAR Manager will undertake a review of the airside vehicle register to ensure full alignment with section 3.5.2 of the YCAR Aerodrome Manual and the relevant MOS 139 requirements. The current register is maintained within the AVCRM document library under ‘Airside Vehicle Register/s’.</p> <p>At the time of this response, the YCAR Manager has identified that the existing register is not sufficiently accurate nor compliant with the applicable requirements. A full update and reconciliation of the register will be completed within the corrective action resolution timeframe and progressed through AVCRM as a tracked job task. This timeframe may be revised should CASA amend the severity rating following further review.</p>

248	YCAR	The detail of the lighting inspection lacks required elements - Aerodrome Technical Inspection (August 2025) - Finding AM 9.5 (Page 84 of 96)	ISSUE: The detail of the lighting inspection lacks required elements. CORRECTIVE ACTION REQUIRED: Review and update the lighting inspection checklist.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	10/01/2026	12/12/2025	<p>This finding has been addressed through the update of the Aerodrome Lighting inspection requirements within the YCAR Aerodrome Manual (Version 1.0 – January 2026) and the implementation of a controlled inspection checklist in AVCRM.</p> <p>The Aerodrome Manual now:</p> <ul style="list-style-type: none"> <li>*Defines inspection frequencies for all lighting systems, including routine serviceability inspections and weekly after-dark inspections</li> <li>*Specifies required inspection elements, including operational status, outages, transition/uniformity of colour and intensity, and physical condition (globes, lenses, alignment and cleanliness)</li> <li>*Identifies that detailed system-specific inspection items are contained within the lighting checklist maintained in AVCRM</li> <li>*Establishes record-keeping requirements (date, time, inspector, results and actions)</li> <li>*Requires all faults to be recorded, tracked and closed through AVCRM</li> </ul> <p>Lighting inspections are undertaken by Aerodrome Reporting Officers, with oversight by the Aerodrome Manager, providing a controlled and auditable inspection process aligned with Part 139 MOS serviceability requirements.</p> <p>The updated AVCRM lighting checklist and associated inspection framework were independently reviewed by Aerodrome Management Services during the period 6–10 January 2026. This review confirmed that the checklist content and inspection process were appropriate and aligned with regulatory and operational requirements, with no issues or concerns identified.</p>
247	YCAR	There are missing elements on the serviceability inspection checklist - Aerodrome Technical Inspection (August 2025) - Finding AM 9.4.3 (Page 82 of 96)	ISSUE: There are missing elements on the serviceability inspection checklist. CORRECTIVE ACTION REQUIRED: Complete a full review of the serviceability inspection checklist.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	10/01/2026	12/12/2025	<p>This finding has been addressed through a full review and update of the Aerodrome Serviceability Inspection framework and associated checklists within AVCRM, supported by the reissue of the YCAR Aerodrome Manual (Version 1.0 – January 2026).</p> <p>The Aerodrome Manual now establishes a structured and controlled serviceability inspection process, including:</p> <ul style="list-style-type: none"> <li>*Routine serviceability inspections undertaken by Aerodrome Reporting Officers in accordance with Section 3.2 of the Manual</li> <li>*Defined procedures for identifying and responding to unsafe conditions, including escalation for technical inspection where required under Part 139 MOS</li> <li>*Clear allocation of responsibilities for conducting inspections, recording results and implementing follow-up actions</li> <li>*A requirement that all inspection records are completed electronically and retained within AVCRM for a minimum period of two (2) years</li> <li>*Integration of serviceability findings into the aerodrome defect management and works process</li> </ul> <p>The revised AVCRM Serviceability Inspection Checklist and associated inspection framework were independently reviewed by Aerodrome Management Services during the period 6–10 January 2026. This review confirmed that the checklist content and inspection process were appropriate and aligned with regulatory and operational requirements, with no issues identified.</p>

246	YCAR	The serviceability inspection checklist does not include a section for the new Global Reporting Format (GRF) requirements - Aerodrome Technical Inspection (August 2025) - Finding AM 9.4.2 (Page 82 of 96)	ISSUE: The serviceability inspection checklist does not include a section for the new Global Reporting Format (GRF) requirements. CORRECTIVE ACTION REQUIRED: Update the serviceability inspection checklist to include the required GRF information.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	21/11/2025	21/11/2025	As a result of the ATI finding, the YCAR Daily Serviceability Checklist within the AVCRM aerodrome management system has been updated to include explicit runway surface condition checks for both runways. The following inspection items are now incorporated in addition to existing requirements:  <ul style="list-style-type: none"> <li>• RWY 04/22 – Surface Condition Confirm the surface condition of RWY 04/22. If the runway is dry, record as compliant. If any portion is wet or contaminated, initiate a GRF Runway Condition Inspection and report in accordance with MOS 139.</li> <li>• RWY 18/36 – Surface Condition Confirm the surface condition of RWY 18/36. If the runway is dry, record as compliant. If any portion is wet or contaminated, initiate a GRF Runway Condition Inspection and report in accordance with MOS 139.</li> </ul> Each runway item now includes two selectable criteria: 1. Dry – Compliant 2. Wet or Contaminated – Initiate GRF Runway Condition Inspection  Where “Wet or Contaminated” is selected, the Aerodrome Reporting Officer is prompted to conduct the GRF inspection using the dedicated GRF module within AVCRM and to complete all associated reporting requirements.
245	YCAR	The aerodrome manual does not include details of how AROs should manage the new Global Reporting Format (GRF) requirements - Aerodrome Technical Inspection (August 2025) - Finding AM 9.4.1 (Page 82 of 96)	ISSUE: The aerodrome manual does not include details of how AROs should manage the new Global Reporting Format (GRF) requirements. CORRECTIVE ACTION REQUIRED: Update the aerodrome manual to include procedures for assessing and reporting the runway condition in accordance with the GRF.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	10/01/2026	1/02/2026	The Aerodrome Manual (Version 1.0 – Jan 2026) has been updated to include runway condition assessment requirements in accordance with MOS Part 139 GRF.  The YCAR Daily Serviceability Checklist in AVCRM has also been updated to include surface condition checks for RWY 04/22 and RWY 18/36. AROs must select: *Dry – Compliant, or *Wet/Contaminated – Initiate GRF Inspection.  Where “Wet/Contaminated” is selected, AVCRM automatically prompts completion of a GRF Runway Condition Inspection and associated reporting.  The updated GRF process and AVCRM controls were reviewed by Aerodrome Management Services (6–10 January 2026) with no issues identified.
244	YCAR	No records of NOTAMs are kept - Aerodrome Technical Inspection (August 2025) - Finding AM 9.3 (Page 80 of 96)	ISSUE: No records of NOTAMs are kept CORRECTIVE ACTION REQUIRED: Ensure that records of all NOTAM actions are maintained.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	25/11/2025	25/11/2025	NOTAM records for YCAR are retained in the following locations: 1. Within the YCAR management system, AVCRM, under the AirServices module titled ‘Manage NOTAMs’. 2. Within the Shire’s record-keeping system, Synergy, in accordance with the Shire’s Record Keeping Policy, under file ADM0015: Traffic and Transport – Maintenance – Carnarvon Airport NOTAMs.
243	YCAR	The aerodrome manual has outdated and incorrect information within it - Aerodrome Technical Inspection (August 2025) - Finding AM 9.0 (Page 77 of 96)	ISSUE: The aerodrome manual has outdated and incorrect information within it. CORRECTIVE ACTION REQUIRED: Complete a full review of the aerodrome manual.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	23/01/2026	1/02/2026	A full review and complete rewrite of the YCAR Aerodrome Manual was undertaken, resulting in the issue of Version 1.0 (January 2026). The revised Manual updates and corrects all previously identified outdated or inaccurate information and aligns the document with current CASR Part 139 MOS requirements and operational practices.  The updated Aerodrome Manual (Version 1.0 – Jan 2026) was forwarded to CASA on 23 January 2026. CASA confirmed receipt and advised their records were updated on 27 January 2026. Shire record NAR2627931 refers.

242	YCAR	No evidence of load testing of the tie-downs was observed - Aerodrome Technical Inspection (August 2025) - Finding 16.5.1 (Page 55 of 96)	ISSUE: No evidence of load testing of the tie-downs was observed. CORRECTIVE ACTION REQUIRED: Test and document in the aerodrome manual the strength of the tie-downs or remove the facilities. An alternative may be to publish in the ERSA-FAC that the tie-downs have not been load tested.	Action Recommended (Observations or opportunities for improvement to enhance compliance or safety)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		26/27 FY	The ATI finding is noted and acknowledged by the YCAR Manager. After assessing the available options, the alternative recommendation provided in the ATI has been determined to be the most appropriate immediate pathway. Accordingly, a data change request was submitted to AirServices on 21 November 2025 to update the ERSA-FAC to state that the general aviation tie-downs are unrated.  Given the severity rating assigned to this finding, the YCAR Manager recommends that any decision to undertake formal load testing and rating of the tie-down facilities be considered as part of the Shire's 2026/27 statutory budget review process. This will allow the necessary funding to be costed, allocated and progressed appropriately, ensuring any future installation, removal or certification is completed in accordance with regulatory requirements.
241	YCAR	The airside speed limits on the access gate do not align with the speed limits documented in the manual - Aerodrome Technical Inspection (August 2025) - Finding 14.5 (Page 54 of 96)	ISSUES: The airside speed limits on the access gate do not align with the speed limits documented in the manual. CORRECTIVE ACTION REQUIRED: Review and update as required. CASA have documented speed limits with advisory circulars.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	23/01/2026	1/03/2026	Airside speed limits displayed at access gates were confirmed to be correct and aligned with CASA Advisory Circular guidance. The discrepancy was limited to outdated information within the Aerodrome Manual.  The YCAR Aerodrome Manual was reviewed and updated as part of the full rewrite, and now reflects the correct airside speed limits consistent with the signage and CASA advisory material.
240	YCAR	The signal circle does not have a blackened background - Aerodrome Technical Inspection (August 2025) - Finding 14.3 (Page 54 of 96)	ISSUE: The signal circle does not have a blackened background CORRECTIVE ACTION REQUIRED: Either paint the signal circle black or remove the signal circle, as it is no longer a requirement.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	24/12/2025	1/03/2026	The ATI finding is acknowledged by the YCAR Manager. The signal circle will be retained and the background will be painted black in accordance with the requirement. A maintenance job has been raised in AVCRM and attached to this issue for tracking and completion. The works will be carried out within the corrective action resolution timeframe, with photographic evidence of completion to be uploaded to AVCRM once finalised.  24/12/2025 - Signal circle painted black, compliant with MOS 139 with no further corrective action required pending advice from CASA or following ATI inspection.
239	YCAR	The wingtip of the DH8D infringes a parking area; it is incorrectly marked - Aerodrome Technical Inspection (August 2025) - Finding 14.1.6 (Page 53 of 96)	ISSUE: The wingtip of the DH8D infringes a parking area; it is incorrectly marked CORRECTIVE ACTION REQUIRED: Extend the line of unserviceability markers to block the entire area where the wingtip overlaps the parking clearance line.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		12/12/2025	The ATI finding is acknowledged by the YCAR Manager. The area where the DH8D wingtip infringes the parking clearance line will be fully closed by extending the unserviceability markers to cover the entire affected section. This will ensure the area is clearly delineated as unavailable for aircraft use and eliminates any risk of inadvertent parking within the infringement zone.  A task has been raised within AVCRM to implement this change, including the placement and verification of the extended unserviceability markers. The works will be completed within the corrective action resolution timeframe, with photographic evidence uploaded to AVCRM once finalised.
238	YCAR	The Dash-8 Q400 (DH8D), is using the apron even though there are no markings for it - Aerodrome Technical Inspection (August 2025) - Finding 14.1.5 (Page 53 of 96)	ISSUE: The Dash-8 Q400 (DH8D), is using the apron even though there are no markings for it. CORRECTIVE ACTION REQUIRED: Repaint the apron to ensure it correctly accommodates the DH8D.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		1/03/2025	The ATI finding is acknowledged by the YCAR Manager. As an interim corrective action, apron line marking will be repainted to clearly and accurately reflect the required Dash-8 Q400 parking configuration. A maintenance job has been raised in AVCRM to implement this work, and the task will be completed within the corrective action resolution timeframe. Photographic evidence of completion will be uploaded to AVCRM.  In addition to this immediate rectification, the Shire notes that the apron is scheduled for full redesign as part of the Carnarvon Aerodrome Upgrade Project. The project scope includes apron resurfacing, apron extension between Taxiways Alpha and Bravo, and new line-marking to support unrestricted Q400 operations, as outlined within the project's Request for Tender (RFT 01/2025 – Carnarvon Aerodrome Upgrade Project Planning and Design). This upgrade works program will provide the long-term, permanent solution and ensure the apron layout fully complies with MOS 139 and modern aircraft operational requirements.  The repainting action ensures immediate operational compliance and risk reduction, while the upgrade project will deliver the comprehensive, enduring rectification.

237	YCAR	Stenciling on the apron is not of the correct font or distance from stop bars - Aerodrome Technical Inspection (August 2025) - Finding 14.1.4 (Page 53 of 96)	ISSUE: Stenciling on the apron is not of the correct font or distance from stop bars. CORRECTIVE ACTION REQUIRED: Purchase and use the correct stencils for the markings.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		26/27 FY	<p>The ATI finding is acknowledged by the YCAR Manager. The item has been assessed as Action Required (non-compliance requiring rectification but not immediately safety-critical). On this basis, and given that the existing markings do not present an operational safety risk, the most appropriate pathway is to incorporate the required stencil upgrades into the upcoming Carnarvon Aerodrome Upgrade Project.</p> <p>The upgrade program includes full apron resurfacing, apron extension and complete replacement of apron line-marking and stencilling, as detailed in RFT 01/2025 – Carnarvon Aerodrome Upgrade Project Planning and Design. Undertaking interim stencil replacement now would result in unnecessary duplication, as the upcoming works will remove or overlay all existing pavement markings.</p> <p>This corrective action will therefore be delivered as part of the apron works under the upgrade program. The YCAR Manager will ensure the correct MOS 139-compliant stencil specifications are incorporated into the project documentation and verified during the design and construction phases. The work will be completed within the timeframe of the aerodrome upgrade, noting the current severity rating permits deferral without compromising safety.</p>
236	YCAR	Taxiway markings are not painted to the correct width - Aerodrome Technical Inspection (August 2025) - Finding 14.1.3 (Page 53 of 96)	ISSUE: Taxiway markings are not painted to the correct width. CORRECTIVE ACTION REQUIRED: Repaint the taxiways so all markings are the correct widths.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		26/27 FY	<p>The ATI finding is acknowledged by the YCAR Manager. This item has been assessed as Action Required (non-compliance requiring rectification but not immediately safety-critical). The current taxiway markings remain visible and do not adversely impact aircraft or vehicle operational safety; however, they do not meet the prescribed MOS 139 width specification.</p> <p>The Shire has commenced the Carnarvon Aerodrome Upgrade Project, which includes full taxiway resurfacing, geometric improvements and complete replacement of all airfield line-marking. The project’s scope of works (RFT 01/2025 – Carnarvon Aerodrome Upgrade Project Planning and Design) confirms that taxiway markings will be fully removed and reinstated during construction, ensuring complete compliance with MOS 139 width, style and placement requirements.</p> <p>Given the imminent redevelopment of the movement areas, repainting the taxiway markings now would be temporary and would be removed during construction. Accordingly, the corrective action will be implemented as part of the taxiway works under the upgrade project. The YCAR Manager will ensure the correct MOS 139 line-marking standards are incorporated into the project design documentation, and compliance will be verified during delivery and commissioning.</p> <p>This approach rectifies the non-compliance through the upcoming upgrade program without compromising current operational safety.</p>

235	YCAR	The centreline spacing on runway 18/36 is incorrect, with large gap at the southern end - Aerodrome Technical Inspection (August 2025) - Finding 14.1.2 (Page 53 of 96)	ISSUE: The centreline spacing on runway 18/36 is incorrect, with large gap at the southern end CORRECTIVE ACTION REQUIRED: When the runway is repainted, ensure the centerline markings are resurveyed and placed in the correct location.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		26/27 FY	<p>The ATI finding is acknowledged by the YCAR Manager. This item has been assessed as Action Required (non-compliance requiring rectification but not immediately safety-critical). The centreline markings on RWY 18/36 remain visible and do not adversely affect aircraft operational safety; however, a discrepancy exists in the spacing at the southern end.</p> <p>The Shire has commenced the Carnarvon Aerodrome Upgrade Project, which includes resurfacing works on a portion of RWY 18/36 utilised for access to Taxiway Bravo and full replacement of runway markings across the movement areas. As identified within the project scope of works in RFT 01/2025 – Carnarvon Aerodrome Upgrade Project Planning and Design, all runway markings will be resurveyed and reinstated as part of the upgrade delivery to ensure full compliance with MOS 139 spacing and layout requirements</p> <p>Given that the upcoming works will remove and replace the existing markings, undertaking isolated centreline repainting at this stage would be temporary and superseded by the planned construction activities. Accordingly, the corrective action will be implemented through the upgrade program, with the YCAR Manager ensuring that the centreline spacing requirements are incorporated into the design documentation and verified during construction and commissioning.</p> <p>This approach provides the required rectification through the imminent upgrade program without compromising current operational safety.</p>
234	YCAR	The runway markings are faded, with a recently painted section narrower than required - Aerodrome Technical Inspection (August 2025) - Finding 14.1.1 (Page 52 of 96)	ISSUE: The runway markings are faded, with a recently painted section narrower than required. CORRECTIVE ACTION REQUIRED: Continue to repaint the runway, ensuring that the line widths are confirmed within the aerodrome standards before repainting.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		26/27FY	<p>The ATI finding is acknowledged by the YCAR Manager. This matter is categorised as Action Required (non-compliance requiring rectification but not immediately safety-critical). The current runway markings remain visible and functional for aircraft operations; however, sections on RWY 18/36 and RWY 04/22 exhibit fading, and one recently repainted section is narrower than the MOS 139 specification.</p> <p>The Shire has commenced the Carnarvon Aerodrome Upgrade Project, which includes full-width asphalt overlays on RWY 04/22 and a resurfaced section of RWY 18/36, followed by complete replacement of all runway markings. As detailed within the project Scope of Works in RFT 01/2025 – Carnarvon Aerodrome Upgrade Project Planning and Design, all runway markings will be resurveyed, reinstated and brought into full compliance with MOS 139 during construction.</p> <p>Undertaking partial repainting at this stage would result in temporary markings that will be removed during the upgrade works. Accordingly, the rectification of faded or incorrectly sized runway markings will be completed as part of the upgrade program. The YCAR Manager will ensure that MOS 139-compliant marking widths and layouts are incorporated into the design documents and verified during construction and commissioning.</p> <p>This approach achieves full compliance through the imminent runway upgrade works while avoiding redundant rework and without compromising current operational safety.</p>
233	YCAR	Details of the Runway 04/22 VSS are not documented in the aerodrome manual - Aerodrome Technical Inspection (August 2025) - Finding 13.5.2 (Page 50 of 96)	ISSUE: Details of the Runway 04/22 VSS are not documented in the aerodrome manual CORRECTIVE ACTION REQUIRED: Include details of the Runway 04/22 VSS in the aerodrome manual for ongoing reference.	Action Recommended (Observations or opportunities for improvement to enhance compliance or safety)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	10/01/2026	1/02/2026	<p>A full review and complete rewrite of the YCAR Aerodrome Manual was undertaken, resulting in the issue of Version 1.0 (January 2026). The revised Manual was provided to CASA on 23 January 2026, with receipt and update confirmed on 27 January 2026 (Shire record NAR2627931).</p> <p>The updated Manual now includes requirements for Aerodrome Reporting Officers to monitor the Visual Segment Surface (VSS) and any identified critical obstacles as part of routine serviceability inspections. Appendix B contains the procedure designer data and plans, including the Runway 04/22 (RWY 04 and RWY 22) VSS drawings, providing an ongoing operational reference.</p> <p>The Runway 04/22 VSS is now documented and controlled within the Aerodrome Manual suite.</p>

232	YCAR	Updated Visual Segment Surface (VSS) information is not available - Aerodrome Technical Inspection (August 2025) - Finding 13.5.1 (Page 50 of 96)	ISSUE: Updated Visual Segment Surface (VSS) information is not available. CORRECTIVE ACTION REQUIRED: Obtain updated details of the Runway 04/22 VSS from the instrument approach designer. (AirServices Australia)	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	10/01/2026	1/02/2026	Updated Visual Segment Surface (VSS) information for Runway 04/22 was obtained from the instrument procedure designer (Airservices Australia) and incorporated into the Aerodrome Manual.  A full review and complete rewrite of the YCAR Aerodrome Manual was undertaken, resulting in Version 1.0 (January 2026). The revised Manual includes the updated Runway 04/22 VSS data and drawings in Appendix B for operational reference and ongoing monitoring.  The updated Aerodrome Manual (Version 1.0 – Jan 2026) was forwarded to CASA on 23 January 2026, with receipt and records update confirmed on 27 January 2026. Shire record NAR2627931 refers.
231	YCAR	The procedure for monitoring the instrument approach procedure critical obstacles is not documented - Aerodrome Technical Inspection (August 2025) - Finding 13.4 (Page 49 of 96)	ISSUE: The procedure for monitoring the instrument approach procedure critical obstacles is not documented CORRECTIVE ACTION REQUIRED: document in the aerodrome manual the procedure for monitoring the critical obstacles and ensure the procedure is implemented.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	23/01/2026	1/02/2026	The procedure for monitoring instrument approach procedure critical obstacles has been incorporated into the YCAR Aerodrome Manual Version 1.0 (January 2026) as part of a full review and complete rewrite.  The Manual now requires Aerodrome Reporting Officers to monitor the Visual Segment Surface (VSS) and nominated critical obstacles as part of routine serviceability inspections, with reference to the procedure designer data and plans contained in Appendix B (including Runway 04/22 VSS information). This provides the operational framework for ongoing identification and management of potential obstacle infringements.  The updated Aerodrome Manual (Version 1.0 – Jan 2026) was forwarded to CASA on 23 January 2026, with receipt and records update confirmed on 27 January 2026. Shire record NAR2627931 refers.
230	YCAR	The dish to the North of the airport is not listed in the ERSA as an obstacle - Aerodrome Technical Inspection (August 2025) - Finding 13.3 (Page 48 of 96)	ISSUE: The dish to the North of the airport is not listed in the ERSA as an obstacle. CORRECTIVE ACTION REQUIRED: Update the dish in the infringements section of ERSA using the distance and bearing that is written on the OLS plan.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	21/11/2025	21/11/2025	The ATI finding is acknowledged by the YCAR Manager. A data change request has been submitted to Airservices Australia through the Airservices Portal on 21 November 2025 to update the ERSA infringements section to include the dish located to the north of the aerodrome. The submitted request reflects the following wording:  * Lit Satellite Dish 266 FT BRG 072 DEG MAG 3824 M FROM ARP Infringes Inner Horizontal SFC by 106.6 FT PSN 24 52 08S 113 42 17E.  The YCAR Manager will monitor the data change request until confirmed and published by Airservices Australia. Once the ERSA update is completed, a copy of the updated entry will be retained in AVCRM.
229	YCAR	Power pole 211 infringes the transitional surface on the hill to the south-west of the 04 threshold - Aerodrome Technical Inspection (August 2025) - Finding 13.2 (Page 48 of 96)	ISSUE: Power pole 211 infringes the transitional surface on the hill to the south-west of the 04 threshold. CORRECTIVE ACTION REQUIRED: Contact CASA and discuss the relevance of publishing a transitional surface infringement that is within the takeoff splay as publishing it may confuse.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		1/02/2026	The ATI finding is acknowledged by the YCAR Manager. Power Pole 211 has been identified as infringing the transitional surface in a location that also forms part of the RWY 04 take-off splay. Given the potential for confusion if this infringement is published in isolation, the YCAR Manager will formally engage with CASA to discuss the relevance and appropriateness of publishing this information in aeronautical data sources.  A request for guidance will be submitted to CASA Aerodromes and Airspace Regulation to confirm whether: <ul style="list-style-type: none"> <li>the infringement should be published,</li> <li>alternative contextual wording is required, or</li> <li>the infringement is not operationally significant for pilot situational awareness due to its position relative to the take-off splay.</li> </ul> Once CASA provides direction, the YCAR Manager will action the outcome, either by progressing a data change request to Airservices Australia or by documenting CASA's advice within the aerodrome's obstacle monitoring records and aerodrome manual. The final position and supporting evidence will be retained in AVCRM and Synergy in accordance with the Shire's record-keeping requirements.  This corrective action will be completed within the corrective action resolution timeframe.

228	YCAR	The aerodrome manual should be updated to reflect the latest runway take-off gradients and supplementary distances - Aerodrome Technical Inspection (August 2025) - Finding 13.1.3 (Page 47 of 96)	ISSUE: The aerodrome manual should be updated to reflect the latest runway take-off gradients and supplementary distances. CORRECTIVE ACTION REQUIRED: Update the applicable section(s) of the aerodrome manual.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	23/01/2026	1/02/2026	Runway take-off gradients and declared distances have been reviewed and updated as part of a full review and complete rewrite of the YCAR Aerodrome Manual, issued as Version 1.0 (January 2026).  The revised Manual includes the current runway operational data, including declared distances and associated operational information for each runway, ensuring alignment with current aerodrome configuration and published operational data.  The updated Aerodrome Manual (Version 1.0 – Jan 2026) was forwarded to CASA on 23 January 2026, with receipt and records update confirmed on 27 January 2026. Shire record NAR2627931 refers.
227	YCAR	The aerodrome has a published instrument approach procedure, and it is a requirement to provide a copy of the survey to the instrument approach designer - Aerodrome Technical Inspection (August 2025) - Finding 13.1.2 (Page 47 of 96)	ISSUE: The aerodrome has a published instrument approach procedure, and it is a requirement to provide a copy of the survey to the instrument approach designer. CORRECTIVE ACTION REQUIRED: Forward a copy of the aerodrome surveys included in Appendix 6 of this report to Airservices Australia.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		5/12/2025	The ATI finding is acknowledged by the YCAR Manager. A copy of the aerodrome survey data referenced in Appendix 6 of the ATI report will be forwarded to Airservices Australia, as the instrument approach designer and custodian of the aeronautical procedure data. This ensures Airservices holds the most current survey information for use in maintaining and validating the published instrument approach procedures for YCAR.  The YCAR Manager will formally transmit the survey package to Airservices Australia and request confirmation of receipt. Once submitted, a record of the correspondence and supporting documentation will be retained within AVCRM and Synergy in accordance with the Shire's record-keeping policy.  This corrective action will be completed within the corrective action resolution timeframe.
226	YCAR	The seal on the southern section of the apron is aging - Aerodrome Technical Inspection (August 2025) - Finding 12.5.3 (Page 46 of 96)	ISSUE: The seal on the southern section of the apron is aging. CORRECTIVE ACTION REQUIRED: Reseal the southern section of the apron.	Action Recommended (Observations or opportunities for improvement to enhance compliance or safety)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		30/06/2027	The ATI observation is acknowledged by the YCAR Manager. This matter is rated as Action Recommended and is therefore an opportunity for improvement rather than an immediate compliance or safety requirement. The southern section of the apron remains serviceable, and operational risk continues to be effectively mitigated through daily serviceability inspections undertaken by Aerodrome Reporting Officers.  Given the scale and cost of resealing works, this item will be managed through the Shire's forward asset planning, statutory budget reviews and identification of potential grant funding opportunities. The requirement will remain open as an ongoing asset management action, with resealing to be incorporated into future capital works programming based on priority, pavement condition monitoring and funding availability.  This approach ensures the issue is recognised and managed within the Shire's long-term strategic asset maintenance framework while maintaining operational safety through existing inspection and monitoring processes.
225	YCAR	The central apron for larger aircraft is in poor condition - Aerodrome Technical Inspection (August 2025) - Finding 12.5.2 (Page 46 of 96)	ISSUE: The central apron for larger aircraft is in poor condition. CORRECTIVE ACTION REQUIRED: Reconstruct the central section of the apron to ensure it is suitable for regular use of larger aircraft.	Action Recommended (Observations or opportunities for improvement to enhance compliance or safety)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		26/27FY	The ATI observation is acknowledged by the YCAR Manager. This matter is rated as Action Recommended and therefore represents an opportunity for improvement rather than an immediate compliance or safety requirement. The central apron remains under operational control, and any risks associated with pavement condition are currently mitigated through daily serviceability inspections undertaken by Aerodrome Reporting Officers.  The reconstruction of the central apron has already been incorporated into the Carnarvon Aerodrome Upgrade Project, which includes full-width asphalt overlays to aprons, taxiways and runway interfaces, as detailed within the project scope of works in RFT 01/2025 – Carnarvon Aerodrome Upgrade Project Planning and Design. This planned upgrade constitutes the long-term rectification pathway for this item and will address structural, surface and line-marking requirements to support larger aircraft operations.  As this is a major capital works activity linked to a defined project schedule, the corrective action will be resolved through delivery of the apron upgrade as part of the broader project program.

224	YCAR	The northern section of the apron is in extremely poor condition with numerous pavement failures - Aerodrome Technical Inspection (August 2025) - Finding 12.5.1 (Page 46 of 96)	ISSUE: The northern section of the apron is in extremely poor condition with numerous pavement failures CORRECTIVE ACTION REQUIRED: Issue a NOTAM to advise users that the northern apron has a rough surface. Reconstruct the apron to rectify the ponding and surface issues.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		NOTAM: 26/11/2025  26/27FY	The ATI finding is acknowledged by the YCAR Manager. In accordance with the severity rating (Action Required – non-compliance requiring rectification but not immediately safety critical), the Shire will implement both an immediate operational control and a longer-term engineering rectification pathway.  Immediate Action A NOTAM will be issued advising operators that the northern section of the apron has a rough and degraded surface. This interim measure ensures aircraft operators and ground crews are aware of the condition and can manage apron movements accordingly. Evidence of the NOTAM will be retained within AVCRM and Synergy.  Long-Term Rectification The northern apron is not included within the current aerodrome upgrade program and will therefore require separate planning, design and budget allocation. Reconstruction works will be progressed through the Shire’s capital works planning, including assessment of pavement design, drainage improvements and remediation of the identified failures. Until reconstruction is programmed and delivered, operational risk will continue to be mitigated through daily serviceability inspections undertaken by Aerodrome Reporting Officers.  This approach ensures that immediate safety considerations are addressed, while longer-term reconstruction is managed through appropriate capital planning and resourcing processes.
223	YCAR	Taxiway Bravo is in poor condition with rough surface - Aerodrome Technical Inspection (August 2025) - Finding 12.4.3 (Page 44 of 96)	ISSUE: Taxiway Bravo is in poor condition with rough surface CORRECTIVE ACTION REQUIRED: Reconstruct or overlay taxiway Bravo to ensure the surface irregularities are reported.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		26/27FY	The ATI finding is acknowledged by the YCAR Manager. Taxiway Bravo has been identified as having a rough and degraded surface, consistent with a rating of Action Required – non-compliance requiring rectification but not immediately safety critical.  Taxiway Bravo is already included within the Carnarvon Aerodrome Upgrade Project, which provides for a full-width asphalt overlay of both Taxiways Alpha and Bravo, as outlined in the project Scope of Works contained within RFT 01/2025 – Carnarvon Aerodrome Upgrade Project Planning and Design . This planned upgrade will restore the pavement surface, address the identified irregularities and ensure compliance with MOS 139 pavement performance requirements. Until the upgrade works are delivered, surface condition will continue to be monitored through daily serviceability inspections undertaken by Aerodrome Reporting Officers, and any reportable deterioration will be managed through the AVCRM maintenance workflow.
222	YCAR	The taxiway strip of taxiway Alpha is infringed by the apron to the south of it - Aerodrome Technical Inspection (August 2025) - Finding 12.4.2 (Page 44 of 96)	ISSUE: The taxiway strip of taxiway Alpha is infringed by the apron to the south of it. CORRECTIVE ACTION REQUIRED: Place unserviceable markers along the side of the apron to ensure aircraft do not park within the taxiway strip. This is indicated in a diagram (page 43 of ATI).	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		26/27FY	The ATI finding is acknowledged by the YCAR Manager. Unserviceable markers will be placed along the southern edge of the apron to ensure aircraft do not park within the Taxiway Alpha strip and to clearly delineate the movement area in accordance with MOS 139. A job will be raised in AVCRM and linked to this issue to manage the works and record completion, including photographic evidence.  Taxiway Alpha is included within the Carnarvon Aerodrome Upgrade Project, which provides for a full-width asphalt overlay of the taxiway and associated apron/taxiway interface works, as identified in the project Scope of Works (RFT 01/2025 – Carnarvon Aerodrome Upgrade Project Planning and Design). These upgrade works will address the longer-term strip configuration and remove the existing apron encroachment. Until the upgrade works are delivered, the placement of unserviceable markers ensures ongoing operational compliance.

221	YCAR	The longitudinal slope of taxiway alpha exceeds 1.5% adjacent to the concrete 'floodway.' - Aerodrome Technical Inspection (August 2025) - Finding 12.4.1 (Page 44 of 96)	ISSUE: The longitudinal slope of taxiway alpha exceeds 1.5% adjacent to the concrete 'floodway.' CORRECTIVE ACTION REQUIRED: When reconstruction works occur, ensure the longitudinal slope of the taxiway is corrected.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		26/27FY	The ATI finding is acknowledged by the YCAR Manager. The non-compliant longitudinal slope adjacent to the concrete floodway will be addressed as part of the upcoming Carnarvon Aerodrome Upgrade Project. Taxiway Alpha is included in the project scope, which provides for a full-width asphalt overlay and associated pavement and grading works needed to achieve compliance with MOS 139 slope requirements, as outlined in RFT 01/2025 – Carnarvon Aerodrome Upgrade Project Planning and Design. The reconstruction works will ensure that the longitudinal slope is corrected and brought within the allowable tolerance.  Until the upgrade works are delivered, the taxiway will continue to be monitored through daily serviceability inspections undertaken by Aerodrome Reporting Officers, and any issues affecting aircraft safety will be managed via AVCRM. This approach ensures continued operational safety while the long-term corrective engineering solution is implemented through the upgrade program.
220	YCAR	There are minor pavement cracks and holes that can be fixed by the AROs - Aerodrome Technical Inspection (August 2025) - Finding 12.2.2 (Page 40 of 96)	ISSUE: There are minor pavement cracks and holes that can be fixed by the AROs. CORRECTIVE ACTION REQUIRED: Use a product such as 'chip-fill' to repair small cracks and holes in the seal by clearing out vegetation and follow the instructions for applying chip fill.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Job Assigned		6/03/2026	The ATI finding is acknowledged by the YCAR Manager. Minor pavement cracks and small surface holes will be repaired by Aerodrome Reporting Officers using an appropriate product such as chip-fill. Vegetation will be removed from the affected areas and the product applied in accordance with the manufacturer's instructions to ensure a proper bond and a durable repair.  A job will be raised in AVCRM and linked to this issue to manage and record the repairs, including photographs of the completed works. Ongoing monitoring of pavement condition will continue through daily serviceability inspections, and any further defects identified will be addressed through the AVCRM maintenance workflow.
219	YCAR	There is a drop from the edge of the runway that exceeds 25mm and 5%, approximately 400m from the northern end of runway 04/22 - Aerodrome Technical Inspection (August 2025) - Finding 12.2.1 (Page 40 of 96)	ISSUE: There is a drop from the edge of the runway that exceeds 25mm and 5%, approximately 400m from the northern end of runway 04/22. CORRECTIVE ACTION REQUIRED: Repair the drop and steep sections along the runway edge by importing quality gravel and filling the gaps.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Job Assigned		13/03/2025	The ATI finding is acknowledged by the YCAR Manager. The non-compliant runway edge slope will be rectified by importing quality gravel and restoring the affected area to meet MOS 139 requirements for runway edge transitions. Vegetation will be cleared where required, the imported material will be compacted appropriately, and the final grade will be checked to confirm compliance with the 25 mm and 5% limits.  A job will be raised in AVCRM and linked to this issue to manage the work and document completion, including photographic evidence of the repaired area. Ongoing monitoring will continue through daily serviceability inspections, and any further deterioration will be managed through the AVCRM maintenance workflow.
218	YCAR	The transition from Pavement Classification Number (PCN) to Pavement Classification Rating (PCR) commenced in November 2024 - Aerodrome Technical Inspection (August 2025) - Finding 12.1.2 (Page 38 of 96)	ISSUE: The transition from Pavement Classification Number (PCN) to Pavement Classification Rating (PCR) commenced in November 2024. CORRECTIVE ACTION REQUIRED: Refer to Advisory Circular 139.C-07 and the CASA website for further information.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	2/08/2025	2/08/2025	The ATI finding is acknowledged by the YCAR Manager. The transition from PCN to PCR has already been completed for YCAR in accordance with Advisory Circular 139.C-07 and the guidance published on the CASA website.  The updated PCR values were actioned on 2 August 2025 and submitted to Airservices Australia through a data change request via the Airservices portal. Airservices have promoted the request, with publication scheduled for 27 November 2025 in the ERSA FAC document. Once published, a copy will be retained in AVCRM and Synergy in accordance with the Shire's record-keeping requirements.  This corrective action is therefore complete.

217	YCAR	The surface of runway 18/36 has ponding and vegetation growing through it. The seal is aged and is at the end of its serviceable life - Aerodrome Technical Inspection (August 2025) - Finding 12.1.1 (Page 37 of 96)	ISSUE: The surface of runway 18/36 has ponding and vegetation growing through it. The seal is aged and is at the end of its serviceable life CORRECTIVE ACTION REQUIRED: Correct the shape of runway 18/36 to the north of the taxiway for approximately 100m. Reseal the remainder of the runway. Consider narrowing the runway when a reseal is completed.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Open		30/06/2027	<p>The ATI finding is acknowledged by the YCAR Manager. Runway 18/36 exhibits ageing pavement, ponding in the northern section, and vegetation intrusion through the seal, indicating that the pavement surface is nearing the end of its serviceable life. This issue has been assessed as Action Required – non-compliance requiring rectification but not immediately safety-critical.</p> <p>Only a small portion of Runway 18/36 (the section used to access Taxiway Bravo) is included in the Carnarvon Aerodrome Upgrade Project, as identified in the project Scope of Works (RFT 01/2025 – Carnarvon Aerodrome Upgrade Project Planning and Design). The section identified in the ATI, approximately 100 m north of Taxiway Bravo, including the remaining runway surface, does not form part of that upgrade program and will require separate planning, design and funding.</p> <p>Rectification works, including correcting the runway shape to eliminate ponding, resealing the remaining pavement, and reviewing potential narrowing options, will be managed through the Shire’s forward capital works planning. This will involve pavement assessment, drainage engineering, budget allocation and potential funding applications. Until reconstruction works can be delivered, the runway’s condition will continue to be monitored through daily serviceability inspections undertaken by Aerodrome Reporting Officers, and any emerging risks will be managed through the AVCRM maintenance workflow.</p>
216	YCAR	An incident occurred during the inspection because an ARO did not properly fulfil his duties and made assumptions about what he could not see, causing the aircraft to amend its flight route - Aerodrome Technical Inspection (August 2025) - Finding 10.3.2 (P)	ISSUE: An incident occurred during the inspection because an ARO did not properly fulfil his duties and made assumptions about what he could not see, causing the aircraft to amend its flight route CORRECTIVE ACTION REQUIRED: Greater management focus should be placed on the staff member. The team member should consider putting the ARO on a Performance Improvement Plan.	Action Recommended (Observations or opportunities for improvement to enhance compliance or safety)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	25/11/2025	25/11/2025	<p>The ATI finding is acknowledged by the YCAR Manager. The staff member identified in the report has formally tendered their resignation from the Shire, effective 4 December 2025. As a result, a Performance Improvement Plan is not an appropriate or practicable corrective action.</p> <p>Notwithstanding the officer’s departure, management has implemented measures to strengthen oversight, consistency and quality of inspections across the ARO team. These include reinforcement of inspection expectations during daily briefings, targeted coaching, and additional checking by senior staff to ensure assumptions are not made during any aerodrome inspection. These actions focus on addressing the underlying procedural and supervisory factors identified during the ATI.</p> <p>The YCAR Manager will continue to monitor inspection standards to ensure that ARO duties are performed in accordance with MOS 139 and that any potential issues are promptly identified and addressed through established management processes.</p>
215	YCAR	Evidence of ongoing Validation of Competency (VOC) for AROs/WSOs was not observed - Aerodrome Technical Inspection (August 2025) - Finding 10.3.1 (Page 34 of 96)	ISSUE: Evidence of ongoing Validation of Competency (VOC) for AROs/WSOs was not observed. CORRECTIVE ACTION REQUIRED: Develop and implement an annual VOC process for all AROs/WSOs.	Action Recommended (Observations or opportunities for improvement to enhance compliance or safety)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	23/01/2025	1/05/2026	<p>Evidence of ongoing competency has been addressed through implementation of a structured annual Validation of Competency (VOC) process for Aerodrome Reporting Officers (AROs) and Works Safety Officers (WSOs).</p> <p>A full review and complete rewrite of the YCAR Aerodrome Manual Version 1.0 (January 2026) established requirements for personnel to be appropriately trained, authorised and competent to perform aerodrome operational duties. The updated Manual was provided to CASA on 23 January 2026, with receipt and records update confirmed on 27 January 2026 (Shire record NAR2627931).</p> <p>The YCAR Induction Package (Version 1.0 – 30 December 2025) has been implemented and is mandatory prior to unsupervised access, supporting initial competency requirements and ongoing operational awareness.</p> <p>An annual VOC process has now been implemented, with:</p> <ul style="list-style-type: none"> <li>*Governance and scheduling tracked through an annual compliance task in Attain (assigned to the YCAR Manager)</li> <li>*Competency assessments and evidence recorded in AVCRM</li> </ul> <p>Alignment with the Shire’s annual employee performance review process under s5.38 Local Government Act 1995</p> <p>All VOC records are retained in AVCRM, providing a structured and auditable annual competency assurance system.</p>

214	YCAR	Records were not found for Drug and Alcohol Management Plan (DAMP) training - Aerodrome Technical Inspection (August 2025) - Finding 10.2.2 (Page 33 of 96)	ISSUE: Records were not found for Drug and Alcohol Management Plan (DAMP) training. CORRECTIVE ACTION REQUIRED: Ensure all AROs/WSOs receive training for DAMP. This is available on the CASA website.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Job Assigned		22/07/2026	<p>The ATI finding is acknowledged by the YCAR Manager. All Aerodrome Reporting Officers and Works Safety Officers will complete the required Drug and Alcohol Management Plan (DAMP) training available through the CASA website to ensure compliance with CASA's DAMP requirements.</p> <p>Once completed, training records will be uploaded into AVCRM under the 'Qualifications – Other Staff Members' section, with corroborative evidence attached (for example, certificates of completion, screenshots confirming successful module completion, or other supporting documentation). This will ensure all ARO/WSO personnel have current, verifiable DAMP training records available for audit and surveillance purposes.</p>
213	YCAR	Training records were not observed for some AROs/WSOs - Aerodrome Technical Inspection (August 2025) - Finding 10.2.1 (Page 33 of 96)	ISSUE: Training records were not observed for some AROs/WSOs CORRECTIVE ACTION REQUIRED: Ensure all AROs/WSOs complete applicable training, and training records are maintained on file	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	23/01/2026	1/03/2026	<p>All Aerodrome Reporting Officer (ARO) and Works Safety Officer (WSO) training records have been reviewed and are now centrally maintained within AVCRM under Qualifications – Staff Members.</p> <p>A full review and complete rewrite of the YCAR Aerodrome Manual Version 1.0 (January 2026) established requirements for personnel to be appropriately trained and competent to undertake aerodrome operational duties. The updated Manual was provided to CASA on 23 January 2026, with receipt and records update confirmed on 27 January 2026 (Shire record NAR2627931).</p> <p>All ARO/WSO personnel have completed the applicable training requirements and are current. AVCRM provides automated alerts when qualifications are within 180 days of expiry, enabling proactive management and renewal of training.</p> <p>The YCAR Induction Package (Version 1.0 – 30 December 2025) has also been implemented and is mandatory prior to unsupervised access, supporting baseline operational competency.</p> <p>Training records are now complete, current and maintained within a controlled and auditable system.</p>
212	YCAR	Due to recent operational changes, personnel have not been formally nominated to some of the key positions required by the Part 139MOS. Other listed in the aerodrome manual as holding key positions are incorrect - Aerodrome Technical Inspection (August 20)	ISSUE: Due to recent operational changes, personnel have not been formally nominated to some of the key positions required by the Part 139MOS. Other listed in the aerodrome manual as holding key positions are incorrect. CORRECTIVE ACTION REQUIRED: Nominate personnel to all required positions and ensure they are familiar with the responsibilities of the role(s). Update the aerodrome manual to include the names of current personnel holding the key positions.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	23/01/2026	1/02/2026	<p>Key operational personnel have been formally nominated to all required Part 139 MOS positions and are familiar with the responsibilities of their respective roles.</p> <p>A full review and complete rewrite of the YCAR Aerodrome Manual Version 1.0 (January 2026) updated the organisational structure and identified current personnel by position, ensuring alignment with operational responsibilities and Part 139 MOS requirements. The Manual also clearly defines the authority, functions and accountability of each key role to ensure personnel understand their responsibilities.</p> <p>The updated Aerodrome Manual was provided to CASA on 23 January 2026, with receipt and records update confirmed on 27 January 2026 (Shire record NAR2627931).</p> <p>Key position nominations are now current, documented and controlled within the Aerodrome Manual.</p>

211	YCAR	The Global Reporting Format (GRF) for assessing and reporting runway surface conditions has been implemented in Australia - Aerodrome Technical Inspection (August 2025) - Finding 8.0 (Page 31 of 96)	ISSUE: The Global Reporting Format (GRF) for assessing and reporting runway surface conditions has been implemented in Australia. CORRECTIVE ACTION REQUIRED: Update the aerodrome manual and associated documentation and ensure the required procedures are implemented prior to the end of the transition period.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	23/01/2026	1/02/2026	Global Reporting Format (GRF) requirements have been implemented through both governance and operational controls.  A full review and complete rewrite of the YCAR Aerodrome Manual Version 1.0 (January 2026) incorporated GRF requirements for assessing and reporting runway surface conditions in accordance with CASR Part 139 MOS. The updated Manual was provided to CASA on 23 January 2026, with receipt and records update confirmed on 27 January 2026 (Shire record NAR2627931).  Operational procedures have been implemented within AVCRM, including: *Runway surface condition assessment as part of the Daily Serviceability Inspection for RWY 04/22 and RWY 18/36 *Automatic prompts to initiate and complete a GRF Runway Condition Inspection and associated reporting where a runway is assessed as wet or contaminated  GRF procedures are operational, documented and fully implemented.
209	YCAR	The Global Reporting Format (GRF) for assessing and reporting runway surface conditions has been implemented in Australia - Aerodrome Technical Inspection (August 2025) - Finding 8.0 (Page 31 of 96)	ISSUE: The Global Reporting Format (GRF) for assessing and reporting runway surface conditions has been implemented in Australia. CORRECTIVE ACTION REQUIRED: Ensure applicable aerodrome staff receive appropriate training.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	11/02/2026	1/04/2026	The ATI finding is acknowledged by the YCAR Manager.  Appropriate training in the Global Reporting Format (GRF) has been completed for relevant Aerodrome Reporting Officers (AROs). Evidence of training completion and competency sign-off is recorded and retained within AVCRM.  Supporting GRF reference material and guidance documents have been uploaded to the AVCRM Documents library to provide ongoing operational reference for ARO staff and to support future refresher training and new staff induction.  This action is considered complete and the aerodrome is operating in accordance with GRF requirements.
208	YCAR	Descriptive Information included in the ERSA-RDS requires updating - Aerodrome Technical Inspection (August 2025) - Finding 7.3.1 (Page 30 of 96)	ISSUE: Descriptive Information included in the ERSA-RDS requires updating. CORRECTIVE ACTION REQUIRED: Update the following information via the Airservices Australia ADO portal: RUNWAY DISTANCE SUPPLEMENT *Update the RESA information to be 90M x 90M from the RWS end. *Remove information regarding Levee banks and fences. *Add the line RWY 04/22 APCH inner edge length 150M.	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	20/11/2025	20/11/2025	The ATI finding is acknowledged by the YCAR Manager. All required updates to the ERSA-RDS have been submitted through the Airservices Australia ADO portal. The data change request was lodged on 20 November 2025 and is currently pending review by Airservices. The update has not yet been promoted, however Airservices have advised a scheduled publication date of 9 July 2026.  The data change request includes the following amendments: • RESA dimensions updated to 90 m x 90 m from the RWS end • Removal of outdated information relating to levee banks and fences • Addition of "RWY 04/22 APCH inner edge length 150 m"  Once Airservices completes its review and the changes are published, the updated ERSA-RDS entry will be retained in AVCRM. From the Shire's perspective, the corrective action has been completed, with finalisation now dependent on Airservices processing and publication.

207	YCAR	Take-off Gradients and Supplementary Distances have Changed (Aerodrome Technical Inspection (August 2025) - Finding 13.1.1 (Page 47 of 96))	<p>ISSUE: The take-off gradients and supplementary distances have changed.</p> <p>CORRECTIVE ACTION REQUIRED: Issue the following NOTAM: Issue the following NOTAM:</p> <p>AMD EN ROUTE SUPPLEMENT AUSTRALIA DECLARED DISTANCE AND GRADIENT CHANGES</p> <p>04 1679(2.12%) 22 1679(3.83%) 18 1200(2.29%) 36 1200(3.99%)</p> <p>SUPPLEMENTARY TKOF DISTANCES RWY04. 1353(1.6%)-1563(1.9%) RWY22. 1182(1.6%)-1313(1.9%)-1410(2.2%)-1485(2.5%)-1619(3.3%) RWY18 1083(1.6%)-1184(1.9%)-1197(2.2%) RWY36 NA(1.6%)-904(1.9%)-1005(2.2%)-1081(2.5%)-1188(3.3%)</p>	Immediate Action Required (Non-compliance or serious safety risk requiring rectification as a matter of urgency)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	20/11/2025	20/11/2025	<p>The ATI finding is acknowledged by the YCAR Manager. The required NOTAM advising of updated take-off gradients and supplementary distances was submitted to Airservices Australia through the Airservices portal on 23 October 2025.</p> <p>In addition, a data change request updating the corresponding information in the ERSA-RDS was submitted via the Airservices ADO portal on 20 November 2025. The request is currently awaiting review by Airservices, with a scheduled publication date of 9 July 2026. This update includes all amended declared distances, gradients and supplementary take-off distances as outlined in the ATI.</p> <p>Once published, the updated ERSA-RDS entry will be retained in AVCRM and Synergy in accordance with the Shire's record-keeping policy. From the Shire's perspective, all required actions have been completed, with finalisation now dependent on Airservices review and publication.</p>
206	YCAR	Information included in the ERSA-FAC requires updating - Aerodrome Technical Inspection (August 2025) - Finding 7.2 (Page 28 of 96)	<p>ISSUE: Information included in the ERSA-FAC requires updating.</p> <p>CORRECTIVE ACTION REQUIRED: *Update section 4 of the Remarks in ERSA to replace 'RPT' with 'SKED' as RPT is the abbreviation for repeat. SKED is the abbreviation for scheduled. *Review the obstacles in ERSA - items such as the dish are missing, and the notes regarding levee banks are not required. *Review and update the pavement strength in the ERSA. This must also be updated to the PCR requirements. *Contact AirServices to confirm the note in the 'Radio Navigation and Landing Aids' section of ERSA to determine what the abbreviation of ML means. *Update section 3(a)(iii) to swap the abbreviation RPT with SKED ACFT.</p>	Action Required (Non-compliance or deficiency needing rectification but not immediately safety critical)	12/09/2025	YCAR ATI (5-6 August 2025)	Resolved	20/11/2025	1/03/2026	<p>The ATI finding is acknowledged by the YCAR Manager. All required ERSA-FAC amendments have been submitted to Airservices Australia via the ADO portal. The data change request was lodged on 20 November 2025 and is currently pending review by Airservices, with a scheduled publication date of 9 July 2026.</p> <p>The submitted update includes: * Section 4 updated to replace the incorrect term 'RPT' with the correct abbreviation 'SKED' * Obstacles reviewed and amended, including the addition of the northern lit satellite dish and the removal of obsolete references to levee banks * Pavement strength updated from PCN to PCR in accordance with the national transition * Confirmation requested from Airservices regarding the abbreviation "ML" in the Radio Navigation and Landing Aids section * Section 3(a)(iii) updated to replace RPT with SKED ACFT</p> <p>Once Airservices completes its review and the changes are published, the updated ERSA-FAC entry will be retained in AVCRM.. From the Shire's perspective, all corrective actions have been completed, with finalisation now dependent on Airservices processing and publishing the update.</p>
204	YCAR	The list of grandfathered facilities in the aerodrome manual is incomplete. As the elements are not grandfathered, the aerodrome is not operating to the required standards - Aerodrome Technical Inspection (August 2025) - Finding 5.2.1 (Page 22 of 96)	<p>ISSUE: The list of grandfathered facilities in the aerodrome manual is incomplete. As the elements are not grandfathered, the aerodrome is not operating to the required standards.</p> <p>CORRECTIVE ACTION REQUIRED: Contact CASA to discuss the incomplete list of grandfathered items. Review the aerodromes manual. A suggested format is included in the 'Part 139 MOS Transition' section at the beginning of the report.</p>	Immediate Action Required (Non-compliance or serious safety risk requiring rectification as a matter of urgency)	12/09/2025	YCAR ATI (5-6 August 2025)	Job Assigned		1/06/2026	<p>The list of grandfathered facilities has been reviewed and updated as part of a full review and complete rewrite of the YCAR Aerodrome Manual Version 1.0 (January 2026). The updated Manual was provided to CASA on 23 January 2026, with receipt confirmed and records updated on 27 January 2026 (Shire record NAR2627931).</p> <p>The Shire has consulted directly with CASA regarding the proposed grandfathered items. CASA has advised that several items are pending approval for inclusion on the grandfathered facilities list.</p> <p>Where applicable, a self-reported deficiency (SRD) has been submitted and is being managed through AVCRM until rectification works are completed.</p> <p>The grandfathered facilities register is now documented in the Aerodrome Manual and is subject to ongoing CASA review and approval.</p>