

Shire of Ravensthorpe Measures of Consequence							
Rating (Level)	Health	Financial Impact	Service Interruption	Compliance	Reputational	Property	Environment
Insignificant (1)	First aid injuries	Less than \$10,000	No material service interruption	No noticeable regulatory or statutory impact	Unsubstantiated, low impact, low profile or 'no news' item	Inconsequential damage.	Contained, reversible impact managed by on site response
Minor (2)	Medical type injuries	\$10,001 - \$25,000	Short term temporary interruption – backlog cleared < 1 day	Some temporary non compliances	Substantiated, low impact, low news item	Localised damage rectified by routine internal procedures	Contained, reversible impact managed by internal response
Moderate (3)	Lost time injury <30 Days	\$25,001 - \$100,000	Medium term temporary interruption – backlog cleared by additional resources < 1 week	Short term non-compliance but with significant regulatory requirements imposed	Substantiated, public embarrassment, moderate impact, moderate news profile	Localised damage requiring external resources to rectify	Contained, reversible impact managed by external agencies
Major (4)	Lost time injury >30 Days	\$100,001 - \$750,000	Prolonged interruption of services – additional resources; performance affected < 1 month	Non-compliance results in termination of services or imposed penalties	Substantiated, public embarrassment, high impact, high news profile, third party actions	Significant damage requiring internal & external resources to rectify	Uncontained, reversible impact managed by a coordinated response from external agencies
Catastrophic (5)	Fatality, permanent disability	More than \$750,000	Indeterminate prolonged interruption of services – non-performance > 1 month	Non-compliance results in litigation, criminal charges or significant damages or penalties	Substantiated, public embarrassment, very high multiple impacts, high widespread multiple news profile, third party actions	Extensive damage requiring prolonged period of restitution Complete loss of plant, equipment & building	Uncontained, irreversible impact

Shire of Ravensthorpe Measures of Likelihood			
Level	Rating	Description	Frequency
5	Almost Certain	The event is expected to occur in most circumstances	More than once per year
4	Likely	The event will probably occur in most circumstances	At least once per year
3	Possible	The event should occur at some time	At least once in 3 years
2	Unlikely	The event could occur at some time	At least once in 10 years
1	Rare	The event may only occur in exceptional circumstances	Less than once in 15 years

Shire of Ravensthorpe Risk Matrix						
Consequence		Insignificant	Minor	Moderate	Major	Catastrophic
Likelihood		1	2	3	4	5
Almost Certain	5	Moderate (5)	High (10)	High (15)	Extreme (20)	Extreme (25)
Likely	4	Low (4)	Moderate (8)	High (12)	High (16)	Extreme (20)
Possible	3	Low (3)	Moderate (6)	Moderate (9)	High (12)	High (15)
Unlikely	2	Low (2)	Low (4)	Moderate (6)	Moderate (8)	High (10)
Rare	1	Low (1)	Low (2)	Low (3)	Low (4)	Moderate (5)

Shire of Ravensthorpe Risk Acceptance Criteria			
Risk Rank	Description	Criteria	Responsibility
LOW (1-4)	Acceptable	Risk acceptable with adequate controls, managed by routine procedures and subject to annual monitoring	Operational Manager
MODERATE (5-9)	Monitor	Risk acceptable with adequate controls, managed by specific procedures and subject to semi-annual monitoring	Operational Manager
HIGH (10-16)	Urgent Attention Required	Risk acceptable with excellent controls, managed by senior management / executive and subject to monthly monitoring	Director / CEO
EXTREME (16-25)	Unacceptable	Risk only acceptable with excellent controls and all treatment plans to be explored and implemented where possible, managed by highest level of authority and subject to continuous monitoring	CEO / Council

Shire of Ravensthorpe Existing Controls Ratings		
Rating	Foreseeable	Description
Effective	There is little scope for improvement.	Processes (Controls) operating as intended and / or aligned to Policies & Procedures; are subject to ongoing maintenance and monitoring and are being continuously reviewed and tested.
Adequate	There is some scope for improvement.	Whilst some inadequacies have been identified; Processes (Controls) are in place, are being addressed / complied with and are subject to periodic review and testing.
Inadequate	A need for corrective and / or improvement actions exist.	Processes (Controls) not operating as intended, do not exist, or are not being addressed / complied with, or have not been reviewed or tested for some time.

Shire of Ravensthorpe Risk Report - October 2014

Executive Summary

Being the initial risk report, this is focussing on driving the framework for ensuring that future reports will continue to provide relevant insight and recommendations to assist the Shire Executive in managing risks. This report is provided in full (dashboard and individual risk profiles) to allow the Executive an opportunity to review and confirm the current risk landscape of the Shire. It is envisaged that future reports will only be in a dashboard format, highlighting the current Risk & Control ratings together with any current actions / treatments underway.

These internal reports are expected to be generated and discussed twice a year as part of the agenda for the Management Team.

Recommendations

Risk Framework

1. Ensure that the Risk Management Policy is approved by Council.
2. Approve the Risk Management Procedures Manual.

Risk Profiles

1. Review and approve all Risk Profiles (from a Risk & Control perspective).
2. Confirm Current Issues / Actions / Treatments (Responsibility & Due Date)

<u>Misconduct</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
SynergySoft purchase order system implemented and trained	Dec-15	DCEO	

<u>Business Disruption</u>		Risk	Control
		Low	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Develop a Business Continuity Plan	Dec-15	CEO/DCEO	

<u>Damage to Physical Assets</u>		Risk	Control
		Low	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Install more CCTV Monitoring on council key assets	DCEO	42339	

<u>Errors, Omissions & Delays</u>		Risk	Control
		Moderate	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
No current actions required			

<u>External Theft & Fraud (inc. Cyber Crime)</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Look to obtain more portable CCTV systems	Dec-15	CEO	
Rotation of CCTV systems across shire facilities	Dec-15	CEO	

<u>Failure of IT &/or Communications Systems and Infrastructure</u>		Risk	Control
		Moderate	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Server Revitalisation (hardware replacement & data back up solution)	Jun-15	DCEO	
Review IT Disaster Recovery Plan	Jun-15	DCEO	

<u>Failure to fulfil statutory, regulatory or compliance requirements</u>		Risk	Control
		Low	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
No current actions required			

<u>Inadequate safety and security practices</u>		Risk	Control
		Moderate	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Undertake 4801 Audit & determine ongoing actions to remedy	Dec-15	CEO	
Improve Contractor / Site Induction process	Dec-15	CEO	

Shire of Ravensthorpe Risk Report - October 2014

<u>Providing inaccurate advice / information</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Review staff training program and recording of completed training	Dec-14	DCEO	

<u>Inadequate Organisation and Community Emergency Management</u>		Risk	Control
		High	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Training of Wire Wardens	Dec-14	CEO	

<u>Inadequate Document Management Processes</u>		Risk	Control
		Moderate	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Better train staff in the utilisation of the system	Jul-15	DCEO	
All staff to be directed to use the systems in place	Jul-15	DCEO	

<u>Inadequate Project / Change Management</u>		Risk	Control
		Moderate	Not Rated
Current Issues / Actions / Treatments	Due Date	Responsibility	
Develop Project Management Methodology			

<u>Inadequate engagement with Community / Stakeholders / Elected Members</u>		Risk	Control
		Low	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Develop a Communications / Media Plan	Jun-15	CEO	

<u>Inadequate Procurement, Disposal or Tender Practices.</u>		Risk	Control
		Moderate	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
No current actions required			

<u>Inadequate Asset Sustainability Practices</u>		Risk	Control
		Moderate	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Review and update Asset Management System	Dec-14	DCEO	
Investigate feasibility of an all-inclusive asset	Dec-14	DCEO	
Update maintenance schedule to ensure all assets are captured	Dec-14	DCEO	

<u>Inadequate Stock Management</u>		Risk	Control
		Low	Not Rated
Current Issues / Actions / Treatments	Due Date	Responsibility	
No current actions required			

<u>Inadequate Supplier / Contract Management</u>		Risk	Control
		Low	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Implement Contract & Tender Management Module (Synergysoft)	Dec-15	CEO	
Develop of a Contract Management Register	Dec-15	CEO	

<u>Ineffective People Management / Employment Practices</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
No current actions required			

<u>Inadequate Environment Management</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
No current actions required			

<u>Not meeting Community expectations</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
No current actions required			

<u>Ineffective Management of Facilities / Venues / Events</u>		Risk	Control
		Moderate	Inadequate

Note: To add in additional rows, click in the cell and drag it down as shown in the theme above. This will bring the hyperlinks into the new cell.

Shire of Ravensthorpe Risk Report - October 2014

Current Issues / Actions / Treatments	Due Date	Responsibility
<i>Develop maintenance schedules for facilities</i>	<i>Jun-15</i>	<i>CEO</i>

Providing inaccurate advice / information

Oct-14

This Risk Theme is defined as:

Incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff. This could be caused by using unqualified, or inexperienced staff, however it does not include instances relating to Misconduct.

Examples include;

- incorrect planning, development or building advice,
- incorrect health or environmental advice
- inconsistent messages or responses from Customer Service Staff
- any advice that is not consistent with legislative requirements or local laws.

Potential causes include:

- Lack of qualified staff
- Long lead times for responses
- Increasing workloads
- Lack of appropriate technical knowledge relevant to the context
- Poor working relationships between internal staff/departments

Key Controls	Type	Date	Shire Rating
<i>Staff Training and interaction</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Information sheets / Process maps</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>External consultants</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Regular staff meetings</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>

Overall Control Ratings:

Adequate

Consequence Category	Risk Ratings	Shire Rating
Reputation	Consequence:	Minor
	Likelihood:	Possible

Overall Risk Ratings:	Moderate
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Key Indicators	Tolerance	Date	Overall Shire Result
# Complaints / issues regarding inaccurate advice / information	2 at any one time		
Threat of litigation	1		
Feedback from staff			
Comments As rated by Workshop Attendees - Keith & Ian			

Current Issues / Actions / Treatments	Due Date	Responsibility
Review staff training program and recording of completed training	Dec-14	DCEO

Incident Management Tracking		
Related Incident Details	Date	Impact
None		

Controls Assurance

Is the Control relevant?

Is the Control documented?

Is the Control in use?

Is the Control up to date?

Is the Control effective?

Are there more controls not yet listed?

Has the risk changed since the last review?

Inadequate Asset Sustainability Practices

Oct-14

This Risk Theme is defined as:

Failure or reduction in service of infrastructure assets, plant, equipment or machinery. These include fleet assets in addition to community use based assets including playgrounds, boat ramps and other maintenance based assets. Areas included in the scope are;

- Inadequate design (not fit for purpose).
- Ineffective usage (down time)
- Outputs not meeting expectations
- Inadequate maintenance activities.
- Inadequate or unsafe modifications.

It does not include issues with the inappropriate use of the Plant, Equipment or Machinery. Refer Misconduct.

Potential causes include:

- Skill level & behaviour of operators
- Lack of trained staff or contractors
- Outdated equipment
- Unavailability of parts
- Lack of formal or appropriate scheduling (maintenance / inspections)
- Unexpected breakdowns

Key Controls	Type	Date	Shire Rating
<i>Asset Management System (Synergy)</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Inadequate</i>
<i>Asset Management Plan</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Planned Building Maintenance</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Planned Replacement Program (Fleet, other)</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Road Asset Management System (ROMANS)</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>

Overall Control Ratings:

Inadequate

Consequence Category	Risk Ratings	Shire Rating
Financial	Consequence:	Moderate
	Likelihood:	Possible

Overall Risk Ratings:	Moderate
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Key Indicators	Tolerance	Date	Overall Shire Result
Asset Sustainability Ratio			
Asset Consumption Ratio			
Asset Renewal Funding Ratio			
Fleet utilisation			
Breakdowns	2 at any one time		
Notified by member of the public	2		
Accidents and/or damage to property	2		
Comments As rated by Workshop Attendees -			

Current Issues / Actions / Treatments	Due Date	Responsibility
Review and update Asset Management System (Synergy)	Dec-14	DCEO
Investigate feasibility of an all-inclusive asset management system	Dec-14	DCEO
Update maintenance schedule to ensure all assets are captured	Dec-14	DCEO

Incident Management Tracking		
Related Incident Details	Date	Impact
None		

Controls Assurance

Is the Control relevant?

Is the Control documented?

Is the Control in use?

Is the Control up to date?

Is the Control effective?

Are there more controls not yet listed?

Has the risk changed since the last review?

Business Disruption

Oct-14

This Risk Theme is defined as:

A local physical event causing the inability to continue business activities and provide services to the community. This may or may not result in Business Continuity Plans to be invoked. This does not include disruptions due to:

- IT Systems or infrastructure related failures should be captured under "Failure of IT Systems and Infrastructure".
- Contractor / Supplier issues should be captured under "Inadequate Supplier / Contract Management".
- People issues should be captured under "Inappropriate People Management".

Potential causes include:

- Cyclone, Storm, Fire, Earthquake
- Terrorism / Sabotage / Criminal Behaviour
- Epidemic / Pandemic
- Extended power outage
- Economic Factors
- Loss of Key Staff

Key Controls	Type	Date	Shire Rating
<i>Business Continuity Framework (Policy & Procedures)</i>	<i>Preventative</i>	<i>Oct-14</i>	<i>Inadequate</i>
<i>Business Continuity Plans</i>	<i>Recovery</i>	<i>Oct-14</i>	<i>Inadequate</i>
<i>BCP Exercises</i>	<i>Detective</i>	<i>Oct-14</i>	<i>Inadequate</i>

Overall Control Ratings:

Inadequate

Consequence Category	Risk Ratings	Shire Rating
Financial	Consequence:	<i>Major</i>

Likelihood:	<i>Rare</i>
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Overall Risk Ratings:	Low
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Key Indicators	Tolerance	Date	Overall Shire Result
Comments <i>As rated by Workshop Attendees -</i>			

Current Issues / Actions / Treatments	Due Date	Responsibility
Develop a Business Continuity Plan	<i>Dec-15</i>	<i>CEO/DCEO</i>

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		

Not meeting Community expectations

Oct-14

This Risk Theme is defined as:

Failure to provide expected levels of service, events and benefit to the community. This includes where precedents have set Community perceptions or where services are generally expected. This will normally result in reputational impacts, however may have financial considerations with re-work, compensations or refunds. Examples include:

- Reducing the number or quality of events.
- Withdrawing support (or not supporting) other initiatives to provide relief/benefits to the Community.
- Loss of new or ongoing funding requirements for projects, events and other initiatives.
- Technology expectations

Potential causes include:

- Conflicting events
- Ineffective complaints management
- Inadequate signage and / or amenities
- Internal Bureaucracy
- Other reputational impacts.
- Inadequate or ineffective staff

Key Controls	Type	Date	Shire Rating
<i>Outstanding Actions Report</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Customer Satisfaction Survey</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Integrated Planning Framework</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
Overall Control Ratings:			<i>Adequate</i>

Consequence Category	Risk Ratings	Shire Rating
Reputational	<i>Consequence:</i>	<i>Minor</i>
	<i>Likelihood:</i>	<i>Possible</i>

Overall Risk Ratings:	Moderate
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Key Indicators	Tolerance	Date	Overall Shire Result
<i>% community satisfaction with Shire performance</i>	<i>75%</i>		
<i>Number of complaints regarding expectations not being met</i>	<i>10PA</i>	08/14 - 07/15	6

Comments
<i>As rated by Workshop Attendees -</i>

Current Issues / Actions / Treatments	Due Date	Responsibility
<i>No current actions required</i>		

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		

Develop Age Care Strategy
Develop a Youth Strategy and Policy
Review waste collection activities and implement a waste minimisation plan

Damage to Physical Assets

Oct-14

This Risk Theme is defined as:

Damage to buildings, property, plant & equipment (all assets) that does not result in a disruption to business objectives (refer Business Disruption). This could be a result of a natural disaster or other events, or an act carried out by an external party (inc. graffiti and / or vandalism).

Potential causes include:

- Cyclone, Storms, Fire, Earthquake
- Graffiti
- Vandalism
- Inappropriate Use

Key Controls	Type	Date	Shire Rating
<i>CCTV Monitoring</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>Appropriate insurance cover</i>	<i>Recovery</i>	<i>Aug-14</i>	Adequate
<i>Contractual arrangements</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate

Overall Control Ratings:

Adequate

Consequence Category	Risk Ratings	Shire Rating
Property	<i>Consequence:</i>	<i>Minor</i>
	<i>Likelihood:</i>	<i>Rare</i>
Overall Risk Ratings:		Low

Key Indicators	Tolerance	Date	Overall Shire Result
<u>Comments</u> <i>As rated by Workshop Attendees -</i>			
Current Issues / Actions / Treatments		Responsibility	Due Date
<i>Install more CCTV Monitoring on council key assets</i>		<i>DCEO</i>	<i>Dec-15</i>
Incident Management Tracking			
Related Incident Details		Date	Impact
<i>None</i>			

Inadequate Document Management Processes

Oct-14

This Risk Theme is defined as:

Failure to adequately capture, store, archive, retrieve, provision and / or disposal of documentation. This includes:

- Contact lists.
- Procedural documents.
- 'Application' proposals/documents.
- Contracts.
- Forms, requests or other documents.

Potential causes include:

- Spreadsheet/Database/Document corruption or loss
- Inadequate access and / or security levels
- Inadequate Storage facilities (including climate control)
- High Staff turnover
- Outdated record keeping practices / incompatible systems
- Lack of system/application knowledge
- High workloads and time pressures
- Incomplete authorisation trails

Key Controls	Type	Date	Shire Rating
<i>Policy & Procedural Review Process</i>	<i>Detective</i>	<i>Aug-14</i>	Adequate
<i>Records Management Process</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>Records Management Policy</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>User acceptance</i>	<i>Preventative</i>		Inadequate

Overall Control Ratings:

Inadequate

Consequence Category	Risk Ratings	Shire Rating
Compliance	Consequence:	<i>Moderate</i>
	Likelihood:	<i>Possible</i>

Overall Risk Ratings:	Moderate
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Key Indicators	Tolerance	Date	Overall Shire Result
<i># Documents not stored electronically or archived off-site</i>	<i>10</i>		
<i>Number of outstanding records year to date</i>	<i>50</i>		
<i>% of records actioned within timeframes</i>	<i>95%</i>		

Comments

Current Issues / Actions / Treatments	Due Date	Responsibility
<i>Better train staff in the utilisation of the system</i>	<i>Jul-15</i>	<i>DCEO</i>
<i>All staff to be directed to use the systems in place</i>	<i>Jul-15</i>	<i>DCEO</i>

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		

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Inadequate Organisation and Community Emergency Management

Oct-14

This Risk Theme is defined as:

Failure to adequately conduct Prevention, Preparation, Response and Recovery (PPRR) in the organisation structure and community elements, inclusive of the management of all emergencies. This includes;

- Lack of (or inadequate) emergency response plans.
- Lack of training to specific individuals or availability of appropriate emergency response.
- Failure in command and control functions as a result of incorrect initial assessment or untimely awareness of incident.
- Inadequacies in environmental awareness and monitoring of fuel loads, curing rates etc

(References: AS 3745; AS 1851; AIIMS 4 Management Principles)

Potential causes include:

- Inadequate Communication
- Unplanned human behavioural response
- Inadequate internal emergency management structure
- Inadequate Bushfire Management Plans
- Isolation in location and workplace
- Lack of Community Participation
- Lack of relevant skill and knowledge
- Inadequate Bushfire Mitigation Plans

Key Controls	Type	Date	Shire Rating
<i>Established and Trained Emergency Planning Committee</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Organisation Emergency Evacuation Management Plan</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Established and Trained ECO (Fire Wardens / First Aiders)</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Inadequate</i>
<i>Functional LEMC</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Current LEMA & Recovery Plan</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>LEM exercises</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Current Bushfire Risk Management Plan</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Risk register (fuel loads)</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Plans tested as required</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Volunteer Management & Training</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
Overall Control Ratings:			Inadequate

Consequence Category	Risk Ratings	Shire Rating
Reputational	Consequence:	Major
	Likelihood:	Possible

Overall Risk Ratings:	High
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Key Indicators	Tolerance	Date	Overall Shire Result
Missed LEMC Meetings	2	Dec-15	
Exercises Recorded	1	Dec-15	
Plans out of date by more than 3 months	1	Dec-15	
# Serious / Fatal accidents	0	Dec-15	
Number of firebreak inspections per year	450	Dec-15	
Number of Bushfire Brigade volunteers	50	Dec-15	
Number of Bushfire Brigade training exercises	3	Dec-15	
Number of internal evacuation exercises	2	Dec-15	
Comments As rated by Workshop Attendees -			

Current Issues / Actions / Treatments	Due Date	Responsibility
Training of Wire Wardens	Dec-14	CEO

Incident Management Tracking		
Related Incident Details	Date	Impact
None		

Inadequate engagement with Community / Stakeholders / Elected Members

Oct-14

This Risk Theme is defined as:

Failure to maintain effective working relationships with the Community (including Local Media), Stakeholders, Key Private Sector Companies, Government Agencies and / or Elected Members. This invariably includes activities where communication, feedback and / or consultation is required and where it is in the best interests to do so. For example;

- Following up on any access & inclusion issues.
- Infrastructure Projects.
- Regional or District Committee attendance.
- Local Planning initiatives.
- Strategic Planning initiatives

This **does not** include instances whereby Community expectations have not been met for standard service provisions such as Community Events, Library Services and / or Bus/Transport services.

Potential causes include;

- Budget / funding issues
- Media attention
- Inadequate documentation or procedures
- Short lead times
- Miscommunication / Poor communication
- Relationship breakdowns with community groups

Key Controls	Type	Date	Shire Rating
<i>Community Engagement Framework (Organisational Based)</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>Planning based engagement (Consultation Policy)</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>Procedures</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
Overall Control Ratings:			Adequate

Consequence Category	Risk Ratings	Shire Rating
Reputational	<i>Consequence:</i>	<i>Minor</i>
	<i>Likelihood:</i>	<i>Unlikely</i>
	Overall Risk Ratings:	Low

Key Indicators	Tolerance	Date	Overall Shire Result
<i>% community feeling they have opportunities to participate in planning</i>	<i>85</i>	<i>Jun-15</i>	
<i>% community satisfaction with the Shire's advocacy and community representation</i>	<i>85</i>	<i>Jun-15</i>	
<i>Number of media releases per annum</i>	<i>25</i>		
<i>Website Quality Checks</i>	<i>4</i>		
Comments <i>As rated by Workshop Attendees -</i>			

Current Issues / Actions / Treatments	Due Date	Responsibility
<i>Develop a Communications / Media Plan</i>	<i>Jun-15</i>	<i>CEO</i>

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		

Develop a Communications / Media Plan
Develop a Community Engagement Framework
Combine related Policies in Community Engagement
Complete the Marketing Implementation Plan

Inadequate environmental management

Oct-14

This Risk Theme is defined as:

Inadequate prevention, identification, enforcement and management of environmental issues. The scope includes;

- Contaminated sites. / Coastal issues
- Waste facilities (landfill / transfer stations). / Groundwater
- Weed control. / Water Quality
- Illegal dumping.
- Illegal clearing / land use.

Potential causes include:

- Inadequate management of landfill sites
- Inadequate reporting / oversight frameworks
- lack of understanding / knowledge
- Community apathy.
- Inadequate local laws / planning schemes

Key Controls	Type	Date	Shire Rating
<i>Landfill / Waste Management Plans</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Supervisory at landfill Sites</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Weed Control Plans</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Support Environmental Groups</i>	<i>Preventative / Detective</i>	<i>Aug-14</i>	<i>Adequate</i>

Overall Control Ratings:

Adequate

Consequence Category	Risk Ratings	Shire Rating
Compliance	Consequence:	<i>Moderate</i>
	Likelihood:	<i>Possible</i>

Overall Risk Ratings:	Moderate
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Key Indicators	Tolerance	Date	Overall Shire Result
<i>Number of Health risk assessments / inspections completed</i>	<i>100%</i>		
<i>Environmental sampling undertaken in accordance with legislation</i>	<i>100%</i>		
<i>Tonnes per capita waste received at landfill</i>			
<i>Recycling contamination rate</i>			
<i>Tonnes per capita recyclable generation</i>			
Comments <i>As rated by Workshop Attendees</i>			

Current Issues / Actions / Treatments	Due Date	Responsibility
<i>No current actions required</i>		

Incident Management Tracking		
Related Incident Details	Date	Impact

Develop Operational Plans (Waste Mgt - Operational, Environmental & Contingency)

Implement 'manned' landfill sites.

Develop Climate Change response plan(draft)

Errors, Omissions & Delays

Oct-14

This Risk Theme is defined as:

Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process. This includes instances of;

- Human errors, incorrect or incomplete processing
- Inaccurate recording, maintenance, testing and / or reconciliation of data.
- Errors or inadequacies in model methodology, design, calculation or implementation of models.

This may result in incomplete or inaccurate information. Consequences include;

- Inaccurate data being used for management decision making and reporting.
- Delays in service to customers
- Inaccurate data provided to customers

This **excludes** process failures caused by inadequate / incomplete procedural documentation - refer "Inadequate Document Management Processes".

Potential causes include:

- Human Error
- Inadequate procedures or training
- Lack of Staff (or trained staff)
- Incorrect information
- Miscommunication
-

Key Controls	Type	Date	Shire Rating
<i>Staff training</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Management oversight</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Documented Procedures / Checklists</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Inadequate</i>
<i>Planning approval performance report</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Complaints Register</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Feedback Register</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>

Overall Control Ratings:

Inadequate

Consequence Category	Risk Ratings	Shire Rating
Reputational	<i>Consequence:</i>	<i>Minor</i>
	<i>Likelihood:</i>	<i>Possible</i>
	Overall Risk Ratings:	Moderate

Key Indicators	Tolerance	Date	Overall Shire Result
<i>Number of complaints</i>	<i>2 per month</i>	Jun-15	
<i>Average number of days for determining major development applications</i>	<i>60 Days</i>	Jun-15	
<i>Average number of days for determining minor development applications</i>	<i>35 Days</i>	Jun-15	
<i>% of planning applications determined within statutory timeframes</i>	<i>90%</i>	Jun-15	
<i>% of building applications determined within statutory timeframes</i>	<i>100%</i>	Jun-15	
Comments <i>As rated by Workshop Attendees -</i>			

Current Issues / Actions / Treatments	Due Date	Responsibility
<i>No current actions required</i>		

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		

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Develop and implement Service Standards

External Theft & Fraud (inc. Cyber Crime)

Oct-14

This Risk Theme is defined as:

Loss of funds, assets, data or unauthorised access, (whether attempts or successful) by external parties, through any means (including electronic), for the purposes of;

- Fraud – benefit or gain by deceit
- Malicious Damage – hacking, deleting, breaking or reducing the integrity or performance of systems
- Theft – stealing of data, assets or information (no deceit)

Examples include:

- Scam Invoices
- Cash or other valuables from 'Outstations'.

Potential causes include:

- Inadequate security of equipment / supplies / cash
- Robbery
- Scam Invoices
- Inadequate provision for patrons belongings
- Lack of Supervision

Key Controls	Type	Date	Shire Rating
Security Access controls at all buildings (eg. Admin / Depot)	Preventative	Aug-14	Adequate
CCTV	Recovery	Aug-14	Adequate
Security access - Admin Building	Preventative	Aug-14	Effective
Security access - Depot	Preventative	Aug-14	Adequate
IT Firewall Systems	Preventative	Aug-14	Adequate

Overall Control Ratings:

Adequate

Consequence Category	Risk Ratings	Shire Rating
Financial	<i>Consequence:</i>	<i>Moderate</i>
	<i>Likelihood:</i>	<i>Possible</i>
	Overall Risk Ratings:	Moderate

Key Indicators	Tolerance	Date	Overall Shire Result
<i># Incidents</i>	<i>2 pa</i>	Dec-15	
Comments <i>As rated by Workshop Attendees -</i>			

Current Issues / Actions / Treatments	Due Date	Responsibility
<i>Look to obtain more portable CCTV systems</i>	<i>Dec-15</i>	<i>CEO</i>
<i>Rotation of CCTV systems across shire facilities</i>	<i>Dec-15</i>	<i>CEO</i>

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		

Ineffective Management of Facilities / Venues / Events

Oct-14

This Risk Theme is defined as:

Failure to effectively manage the day to day operations of facilities, venues and / or events. This includes;

- Inadequate procedures in place to manage the quality or availability.
- Ineffective signage
- Booking issues
- Financial interactions with hirers / users
- Oversight / provision of peripheral services (eg. cleaning / maintenance)

Potential causes include:

- Double bookings
- Illegal alcohol consumption
- Managing bond payments
- Animal contamination.
- Failed chemical / health requirements.
- Access to facilities / venues.

Key Controls	Type	Date	Shire Rating
Event Notification Process	Preventative	Aug-14	Adequate
Event Evaluation / Approval Process (Internal)	Detective	Aug-14	Adequate
Event Management Process (Monitoring)	Detective	Aug-14	Adequate
Booking System (Outlook / Centaman), ensure adequate insurance	Preventative	Aug-14	Adequate
Events Policy & Procedure process	Preventative	Aug-14	Adequate
Maintenance Schedules	Detective	Aug-14	Inadequate

Overall Control Ratings:

Inadequate

Consequence Category	Risk Ratings	Shire Rating
Reputational	Consequence:	<i>Minor</i>
	Likelihood:	<i>Possible</i>
	Overall Risk Ratings:	Moderate

Key Indicators	Tolerance	Date	Overall Shire Result
<i>Attendance at Arts & Cultural activities</i>			
<i>Complaints</i>	<i>3 pa</i>	Dec-15	
<i>% community satisfaction with with services and facilities</i>	<i>90%</i>	Dec-15	
<i>% of population using the Shires Recreation Centres</i>	<i>70%</i>	Dec-15	
Comments <i>As rated by Workshop Attendees -</i>			

Current Issues / Actions / Treatments	Due Date	Responsibility
<i>Develop maintenance schedules for facilities</i>	<i>Jun-15</i>	<i>CEO</i>

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		

Inadequate safety and security practices

Oct-14

This Risk Theme is defined as:

Non-compliance with the Occupation Safety & Health Act, associated regulations and standards. It is also the inability to ensure the physical security requirements of staff, contractors and visitors. Other considerations are:

- Inadequate Policy, Frameworks, Systems and Structure to prevent the injury of visitors, staff, contractors and/or tenants.
- Inadequate Organisational Emergency Management requirements (evacuation diagrams, drills, wardens etc).
- Inadequate security protection measures in place for buildings, depots and other places of work (vehicle, community etc).
- Public Liability Claims, due to negligence or personal injury.
- Employee Liability Claims due to negligence or personal injury.
- Inadequate or unsafe modifications to plant & equipment

Potential causes include:

- Lack of appropriate PPE / Equipment
- Inadequate first aid supplies or trained staff
- Rubbish / Litter Control
- Inadequate security arrangements
- Inadequate signage, barriers or other exclusion techniques
- Storage and use of Dangerous Goods
- Ineffective / inadequate testing, sampling (similar) health based req'
- Lack of mandate and commitment from Senior Management

Key Controls	Type	Date	Shire Rating
Workplace Inspections	Preventative	Aug-14	Inadequate
Staff Individual Training Plans	Preventative	Aug-14	Adequate
Hazard Register	Detective	Aug-14	Adequate
OSH Management Framework	Preventative	Aug-14	Adequate
Contractor / Site Inductions	Preventative	Aug-14	Inadequate
Staff Inductions	Preventative	Aug-14	Adequate
		Aug-14	

Overall Control Ratings:

Inadequate

Consequence Category	Risk Ratings	Shire Rating
Health	Consequence:	<i>Moderate</i>
	Likelihood:	<i>Possible</i>
	Overall Risk Ratings:	Moderate

Key Indicators	Tolerance	Date	Overall Shire Result
<i>4801 Audit Results</i>	<i>60%</i>	Dec-15	
<i>LTI</i>	<i>1</i>	Jun-15	
<i>Near misses and feedback at toolbox and staff meetings</i>	<i>1</i>	Jun-15	
<i>Workers Compensation Claims</i>	<i><3</i>	Jun-15	
Comments <i>As rated by Workshop Attendees -</i>			

Current Issues / Actions / Treatments	Due Date	Responsibility
Undertake 4801 Audit & determine ongoing actions to remedy	<i>Dec-15</i>	<i>CEO</i>
Improve Contractor / Site Induction process	<i>Dec-15</i>	<i>CEO</i>

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		

Failure of IT &/or Communications Systems and Infrastructure

Oct-14

This Risk Theme is defined as:

Instability, degradation of performance, or other failure of IT Systems, Infrastructure, Communication or Utility causing the inability to continue business activities and provide services to the community. This may or may not result in IT Disaster Recovery Plans being invoked. Examples include failures or disruptions caused by:

- Hardware &/or Software
- IT Network
- Failures of IT Vendors

This also includes where poor governance results in the breakdown of IT maintenance such as;

- Configuration management
- Performance Monitoring
- IT Incident, Problem Management & Disaster Recovery Processes

This **does not** include new system implementations - refer "Inadequate Project / Change Management".

Potential causes include:

- Weather impacts
- Power outage at service provider
- Out dated / inefficient hardware
- Incompatibility between operating system and Microsoft
- Power failure
- Infrastructure breakdown such as landlines, radio communications.
- Lack of training
- Software vulnerability (e.g. MS Access)

Key Controls	Type	Date	Shire Rating
<i>Data Back-up Systems</i>	<i>Recovery</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Performance Monitoring</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Vendor Support (IT Vision)</i>	<i>Recovery</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Disaster Recovery Plan</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Inadequate</i>
<i>UPS / Generator entry point</i>	<i>Recovery</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>IT Infrastructure Replacement / Refresh Program</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
Overall Control Ratings:			Inadequate

Consequence Category	Risk Ratings	Shire Rating
Service Interruption	Consequence:	<i>Moderate</i>
	Likelihood:	<i>Possible</i>
	Overall Risk Ratings:	Moderate

Key Indicators	Tolerance	Date	Overall Shire Result
<i>System downtime</i>	<i><1 day per year</i>	Dec-15	
<i>Availability of network infrastructure during business hours</i>	<i>100%</i>	Dec-15	
<i>Average outstanding Help Desk support requests</i>	<i><2</i>	Dec-15	
Comments <i>As rated by Workshop Attendees -</i>			

Current Issues / Actions / Treatments	Due Date	Responsibility
Server Revitalisation (hardware replacement & data back up solution)	<i>Jun-15</i>	<i>DCEO</i>
Review IT Disaster Recovery Plan	<i>Jun-15</i>	<i>DCEO</i>

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		

Server Revitalisation (hardware replacement & data back up solution)
Phone System replacement (Integrated with IT)
Review IT Disaster Recovery Plan

Test IT Disaster Recovery Plans
Create ICT Information Framework (IPF)

Misconduct

Oct-14

This Risk Theme is defined as:

Intentional activities in excess of authority granted to an employee, which circumvent endorsed policies, procedures or delegated authority. This would include instances of:

- Relevant authorisations not obtained.
- Distributing confidential information.
- Accessing systems and / or applications without correct authority to do so.
- Misrepresenting data in reports.
- Theft by an employee
- Collusion between Internal & External parties

This **does not** include instances where it was not an intentional breach - refer Errors, Omissions or delays in transaction processing, or Inaccurate Advice.

Potential causes include:

- Inadequate induction process
- Changing of job titles
- Delegated authority process inadequately implemented
- Disgruntled employees
- Lack of understanding
- Poor internal checks (PO's and delegated authority)
- Password sharing

Key Controls	Type	Date	Shire Rating
<i>Delegations Register - Framework</i>	<i>Detective</i>	<i>Aug-14</i>	Effective
<i>Delegation control (Synergy)</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>Segregation of Duties (Financial)</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>IT Security Access Framework (Profiles and passwords)</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>Induction Process (Code of Conduct)</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>Procurement Process (Purchase Order Process)</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>Financial Interest Return</i>	<i>Recovery</i>	<i>Aug-14</i>	Effective

Overall Control Ratings:

Adequate

Consequence Category	Risk Ratings	Shire Rating
Compliance	<i>Consequence:</i>	<i>Moderate</i>
	<i>Likelihood:</i>	<i>Unlikely</i>
	Overall Risk Ratings:	Moderate

Key Indicators	Tolerance	Date	Overall Shire Result
<i>Audits</i>	<i>1</i>		
<i>SOP's</i>	<i>1</i>		

Comments
<i>As rated by Workshop Attendees -</i>

Current Issues / Actions / Treatments	Due Date	Responsibility
SynergySoft purchase order system implemented and trained	<i>Dec-15</i>	<i>DCEO</i>

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		

SynergySoft purchase order system implemented and trained
New Purchasing SOP

Ineffective People Management / Employment Practices

Oct-14

This Risk Theme is defined as:

Failure to effectively manage and lead human resources (full/part time, casuals, temporary and volunteers). This includes not having an effective Human Resources Framework in addition to not having appropriately qualified or experienced people in the right roles or not having sufficient staff numbers to achieve objectives. Other areas in this risk theme to consider are;

- Breaching employee regulations (excluding OH&S).
- Discrimination, Harassment & Bullying in the workplace.
- Poor employee wellbeing (causing stress)
- Key person dependencies without effective succession planning in place.
- Induction issues.
- Terminations (including any tribunal issues).
- Industrial activity.

Care should be taken when considering insufficient staff numbers as the underlying issue could be a process inefficiency.

Potential causes include:

- Leadership failures
- Available staff / volunteers are generally highly transient.
- Single Person Dependencies
- Poor internal communications / relationships
- Ineffective performance management programs or procedures.
- Ineffective training programs or procedures.
- Limited staff availability - mining / private sectors (pay & conditions).
- Inadequate Induction practices.

Key Controls	Type	Date	Shire Rating
<i>Policy & Procedures</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Training Needs Analysis & Training Register</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Workforce Plan (Succession Planning Component)</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Staff Inductions (Code of Conduct Component)</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Performance Review Process</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>

Overall Control Ratings:

Adequate

Consequence Category	Risk Ratings	Shire Rating
Compliance	<i>Consequence:</i>	<i>Minor</i>
	<i>Likelihood:</i>	<i>Possible</i>
	Overall Risk Ratings:	Moderate

Key Indicators	Tolerance	Date	Overall Shire Result
<i>% Staff turnover rate</i>	<i><10%</i>	Jun-16	
<i>Absenteeism</i>	<i><3 days pa</i>	Jun-16	
<i>Workers Compensation Claims (Stress Claims)</i>	<i>1</i>	Jun-16	
<i>Training cost ratio</i>	<i>>2.8%</i>		
Comments <i>As rated by Workshop Attendees -</i>			

Current Issues / Actions / Treatments	Due Date	Responsibility
<i>No current actions required</i>		

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		

Inadequate Procurement, Disposal or Tender Practices.

Oct-14

This Risk Theme is defined as:

Failures in the procurement, acquisition, acceptance or disposal process for assets as governed by the Local Government Act. This risk theme also relates to and includes;

- Lack of formalised process to identify specific requirements prior to procurement.
- Acceptance of assets without reference to a formalised process to ensure correct receipt and / or notification of receipt (transfer of ownership).
- Disposing of P & E (either through sale or decommissioning) that did not meet expectations from either a time or financial perspective.
- Failures in the Tender process from RTF preparation, advertising, due diligence and awarding.

Potential causes include;

- Fluctuating local market
- Open Depot
- Lack of procedural process / short cutting
- Upselling issues
- Biased view of requirement / specifications
- Lack of liaison with operators

Key Controls	Type	Date	Shire Rating
<i>Policy & Procedures</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>Delegation Register</i>	<i>Preventative</i>	<i>Aug-14</i>	Effective
<i>e-Quotes (WALGA)</i>	<i>Preventative</i>	<i>Aug-14</i>	Effective
<i>Purchase Order System</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>Purchase Review Process</i>	<i>Detective</i>	<i>Aug-14</i>	Inadequate
Overall Control Ratings:			Inadequate

Consequence Category	Risk Ratings	Shire Rating
Compliance	Consequence:	Moderate
	Likelihood:	Unlikely
	Overall Risk Ratings:	Moderate

Key Indicators	Tolerance	Date	Overall Shire Result
Audits show failures	2 pa	Jun-16	
Comments As rated by Workshop Attendees -			

Current Issues / Actions / Treatments	Due Date	Responsibility
No current actions required		

Incident Management Tracking		
Related Incident Details	Date	Impact
None		

Implement Purchase Order Controls in Synergysoft

Inadequate Project / Change Management

Oct-14

This Risk Theme is defined as:

Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time requirements or scope changes. This includes:

- Inadequate Change Management Framework to manage and monitor change activities.
- Inadequate understanding of the impact of project change on the business.
- Failures in the transition of projects into standard operations.
- Failure to implement new systems
- Failures of IT Project Vendors/Contractors

This includes Directorate or Service Unit driven change initiatives except new Plant & Equipment purchases. Refer "Inadequate Asset Management"

Potential causes include:

- Lack of communication and consultation
- Lack of investment
- Ineffective management of expectations (scope creep)
- Inadequate project planning (resources/budget)
- Shire growth (too many projects)
- Inadequate monitoring and review
- Project risks not managed effectively
- Lack of Project methodology knowledge and reporting requirements

Key Controls	Type	Date	Shire Rating
<i>Project Management Framework (Methodology)</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Not Rated</i>
<i>Project Status Reporting</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Risk assessments</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Not Rated</i>
Overall Control Ratings:			<i>Not Rated</i>

Consequence Category	Risk Ratings	Shire Rating
Financial	<i>Consequence:</i>	<i>Moderate</i>
	<i>Likelihood:</i>	<i>Possible</i>
	Overall Risk Ratings:	Moderate

Key Indicators	Tolerance	Date	Overall Shire Result
<i>Missed deadlines / milestones</i>	<i>< 2pa</i>	Dec-15	
<i>Budget overrun</i>	<i><5%</i>	Dec-15	
<i>Failed objectives</i>	<i>1pa</i>	Dec-15	
<i>Deviations from the project scope</i>	<i>1pa</i>	Dec-15	
Comments <i>As rated by Workshop Attendees -</i>			

Current Issues / Actions / Treatments	Due Date	Responsibility
Develop Project Management Methodology		

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		

Develop Project Management Methodology

Failure to fulfil statutory, regulatory or compliance requirements

Oct-14

This Risk Theme is defined as:

Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This could result in fines, penalties, litigation or increased scrutiny from regulators or agencies. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated legal documentation (internal & public domain) to reflect changes.

This does not include;

- Issues in relation to OH&S – refer "Inadequate employee and visitor safety and security"
- Procurement, disposal or tender process failures – refer "Inadequate Procurement, Disposal or Tender Practices"
- HR based legislation – refer "ineffective People Management"

Potential causes include:

- Lack of training, awareness and knowledge
- Staff Turnover
- Inadequate record keeping
- Ineffective processes
- Lack of Legal Expertise
- Councillor Turnover
- Misunderstanding of delegations
- Ineffective monitoring of changes to legislation

Key Controls	Type	Date	Shire Rating
<i>Compliance Return (DLG)</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Compliance calendar</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Financial Interest Return</i>	<i>Recovery</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>External Auditor Reviews (Compliance)</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Effective</i>
<i>Subscriptions (WALGA)</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Induction Process - Councillors</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Induction Process - Staff</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Staff internal and external networking channels</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>
<i>Tender process</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Adequate</i>

Overall Control Ratings:

Adequate

Consequence Category	Risk Ratings	Shire Rating
Compliance	Consequence:	Minor
	Likelihood:	Unlikely
	Overall Risk Ratings:	Low

Key Indicators	Tolerance	Date	Overall Shire Result
Fines or penalties	1		
Failed audits	1		
Investigations	1		
% of FOI's and PID's actioned within timeframes	100%		
Comments As rated by LGIS are developing a Standardised Compliance Framework for Local Governments. Once completed, this will be reviewed and implemented where applicable to provide an overview of control effectiveness in this area.			

Current Issues / Actions / Treatments	Due Date	Responsibility
No current actions required		

Incident Management Tracking		
Related Incident Details	Date	Impact
None		

Review compliance framework

Inadequate Stock Management

Oct-14

This Risk Theme is defined as:

Lack of stock to ensure continuity of operations or oversupply of stock resulting in dormant (non-performing) assets. Stock includes, consumables, stationery, spare parts and / or other items used for operational purposes. This could be a result of an ineffective stock management system / processes or the peripheral processes in the issuance and / or recording of 'transactions'.

It does not include theft or loss of stock through ineffective operations; refer;

- Theft – “Misconduct” or “External Theft or Fraud”
- Ineffective operations – “Errors, Omissions or Delays”.

Potential causes include:

- Fluctuating demand
- Communication breakdowns
- Budgetary constraints
- Unavailability of stock
- Procedures not followed

Key Controls	Type	Date	Shire Rating
<i>Stock Control Systems</i>	<i>Preventative</i>	<i>Aug-14</i>	<i>Not Rated</i>
<i>Manual Inspections</i>	<i>Detective</i>	<i>Aug-14</i>	<i>Not Rated</i>
Overall Control Ratings:			<i>Not Rated</i>

Consequence Category	Risk Ratings	Shire Rating
Financial	Consequence:	Minor
	Likelihood:	Unlikely

Overall Risk Ratings:	Low
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Key Indicators	Tolerance	Date	Overall Shire Result
Outdated or dormant stock			
Stock written off			

Comments
As rated by Workshop Attendees -

Current Issues / Actions / Treatments	Due Date	Responsibility
No current actions required		

Incident Management Tracking		
Related Incident Details	Date	Impact
None		

Implement Fuel usage indicators on mobile tanks

Inadequate Supplier / Contract Management

Oct-14

This Risk Theme is defined as:

Inadequate management of External Suppliers, Contractors, IT Vendors or Consultants engaged for core operations. This includes issues that arise from the ongoing supply of services or failures in contract management & monitoring processes. This also includes:

- Concentration issues
- Vendor sustainability

It does not include failures in the tender process; refer "Inadequate Procurement, Disposal or Tender Practices".

Potential causes include:

- Funding
- Complexity and quantity of work
- Inadequate tendering process
- Geographical remoteness
- Inadequate contract management practices
- Ineffective monitoring of deliverables
- Lack of planning and clarity of requirements
- Historical contracts remaining

Key Controls	Type	Date	Shire Rating
<i>Contract & Tender Management System</i>	<i>Preventative</i>	<i>Aug-14</i>	Adequate
<i>Regular Inspection of Landfill Sites (Monitor)</i>	<i>Detective</i>	<i>Aug-14</i>	Adequate

Overall Control Ratings:

Adequate

Consequence Category	Risk Ratings	Shire Rating
Financial	<i>Consequence:</i>	<i>Minor</i>
	<i>Likelihood:</i>	<i>Unlikely</i>

Overall Risk Ratings:	Low
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Key Indicators	Tolerance	Date	Overall Shire Result
<i># Expired Contracts, not yet renewed</i>	<i>0</i>		
<i>Increased costs >CPI</i>			
Comments <i>As rated by Workshop Attendees -</i>			

Current Issues / Actions / Treatments	Due Date	Responsibility
<i>Implement Contract & Tender Management Module (Synergysoft)</i>	<i>Dec-15</i>	<i>CEO</i>
<i>Develop of a Contract Management Register</i>	<i>Dec-15</i>	<i>CEO</i>

Incident Management Tracking		
Related Incident Details	Date	Impact
<i>None</i>		