

Measures of Consequence							
Rating	PEOPLE	INTERRUPTION TO SERVICE	REPUTATION (Social / Community)	COMPLIANCE	PROPERTY (Plant, Equipment, Buildings)	NATURAL ENVIRONMENT	FINANCIAL IMPACT
Insignificant 1	Near-Miss	No material service interruption Less than 1 hour	Unsubstantiated, localised low impact on community trust, low profile or no media item.	No noticeable regulatory or statutory impact	Inconsequential damage.	Contained, reversible impact managed by on site response	Less than \$10,000
Minor 2	First Aid Treatment	Short term temporary interruption – backlog cleared < 1 day	Substantiated, localised impact on community trust or low media item	Some temporary non compliances	Localised damage rectified by routine internal procedures	Contained, reversible impact managed by internal response	\$10,000 - \$100,000
Moderate 3	Medical treatment / Lost time injury >30 Days	Medium term temporary interruption – backlog cleared by additional resources < 1 week	Substantiated, public embarrassment, moderate impact on community trust or moderate media profile	Short term non-compliance but with significant regulatory requirements imposed	Localised damage requiring external resources to rectify	Contained, reversible impact managed by external agencies	\$100,001 to \$350,000
Major 4	Lost time injury <30 Days / temporary disability	Prolonged interruption of services – additional resources; performance affected < 1 month	Substantiated, public embarrassment, widespread high impact on community trust, high media profile, third party actions	Non-compliance results in termination of services or imposed penalties to Shire / Officers	Significant damage requiring internal & external resources to rectify	Uncontained, reversible impact managed by a coordinated response from external agencies	\$350 000 to \$2.0M
Extreme 5	Fatality, permanent disability	Indeterminate prolonged interruption of services non-performance > 1 month	Substantiated, public embarrassment, widespread loss of community trust, high widespread multiple media profile, third party actions	Non-compliance results in litigation, criminal charges or significant damages or penalties to Shire/ Officers	Extensive damage requiring prolonged period of restitution Complete loss of plant, equipment & building	Uncontained, irreversible impact	>\$2.0M

Shire of Brookton Risk Dashboard Report October 2016

<u>Asset Sustainability practices</u>		Risk	Control	<u>External theft & fraud (Inc. Cyber Crime)</u>		Risk	Control
		Moderate	Effective			#N/A	0
Current Issues / Actions / Treatments	Due Date	Responsibility		Current Issues / Actions / Treatments	Due Date	Responsibility	

<u>Business & Community disruption</u>		Risk	Control	<u>Management of Facilities / Venues / Events</u>		Risk	Control
		#N/A	0			#N/A	0
Current Issues / Actions / Treatments	Due Date	Responsibility		Current Issues / Actions / Treatments	Due Date	Responsibility	

<u>Failure to fulfil Compliance requirements (statutory, regulatory)</u>		Risk	Control	<u>IT or communication systems and infrastructure</u>		Risk	Control
		#N/A	0			#N/A	0
Current Issues / Actions / Treatments	Due Date	Responsibility		Current Issues / Actions / Treatments	Due Date	Responsibility	

<u>Document Management processes</u>		Risk	Control	<u>Misconduct</u>		Risk	Control
		#N/A	0			#N/A	0
Current Issues / Actions / Treatments	Due Date	Responsibility		Current Issues / Actions / Treatments	Due Date	Responsibility	

<u>Employment practices</u>		Risk	Control	<u>Project / Change management</u>		Risk	Control
		#N/A	0			#N/A	0
Current Issues / Actions / Treatments	Due Date	Responsibility		Current Issues / Actions / Treatments	Due Date	Responsibility	

Shire of Brookton Risk Dashboard Report October 2016

<u>Engagement practices</u>		Risk	Control
		#N/A	0
Current Issues / Actions / Treatments	Due Date	Responsibility	

<u>Safety and Security practices</u>		Risk	Control
		High	0
Current Issues / Actions / Treatments	Due Date	Responsibility	

<u>Environment management</u>		Risk	Control
		#N/A	0
Current Issues / Actions / Treatments	Due Date	Responsibility	

<u>Supplier / Contract management</u>		Risk	Control
		#N/A	0
Current Issues / Actions / Treatments	Due Date	Responsibility	

<u>Errors, omissions & delays</u>		Risk	Control
		#N/A	0
Current Issues / Actions / Treatments	Due Date	Responsibility	

To add additional Issues / Actions / Treatments cells, insert a new line, click in the last of the existing cells above and drag down. This will bring the formulas into the new cells.

Asset Sustainability practices

Oct-16

Failure or reduction in service of infrastructure assets, plant, equipment or machinery.
 These include fleet, buildings, roads, playgrounds, boat ramps and all other assets during their lifecycle from procurement to disposal.
 Areas included in the scope are;
 -Inadequate design (not fit for purpose)
 -Ineffective usage (down time)
 -Outputs not meeting expectations
 -Inadequate maintenance activities.
 -Inadequate financial management and planning (capital renewal plan).
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	Unavailability of parts
Lack of trained staff	Lack of formal or appropriate scheduling (maintenance / inspections)
Outdated equipment	Unexpected breakdowns
Insufficient budget to maintain or replace assets	

Controls	Type	Date	Rating
Asset Register (roads, buildings, playgrounds, etc)	Detective	Oct-16	Effective
Asbestos Management Program (Register & Plan)	Preventative	Oct-16	
Asset replacement program - Plant and Infrastructure	Preventative	Oct-16	
Asset Management Plan	Preventative	Oct-16	
Equipment redundancies available or hire if needed	Preventative	Oct-16	
Reviews of Contractor contracts	Preventative	Oct-16	
Routine infrastructure Maintenance Program: Hard Infrastructure (Roads, buildings, footpaths)	Preventative	Oct-16	
Routine infrastructure Maintenance Program: Parks, reserves & play equipment	Preventative	Oct-16	
Most assets photographed	Preventative	Oct-16	
Reactive maintenance program	Recovery	Oct-16	
Comprehensive maintenance reports submitted to relevant stakeholders	Detective	Oct-16	

Elected member briefings on budget breakdown	Detective	Oct-16	
Long Term Financial Plan (budget forecast / allocation)	Preventative	Oct-16	

Overall Control Ratings:	Effective
---------------------------------	------------------

Consequence Category	Risk Ratings	Rating
Service interruption, Financial	Consequence:	<i>Moderate</i>
	Likelihood:	<i>Unlikely</i>
	Overall Risk Ratings:	Moderate

Indicators	Type	Tolerance Level
<i>Asset Consumption Ratio (The ratio highlights the aged condition of stock of physical assets)</i>	Leading	
<i>Asset Renewal Funding Ratio (The financial capacity to fund asset renewal as required, and continue to provide existing levels of services)</i>	Leading	
<i>Asset Sustainability Ratio (Measures the extent to which assets are replaced as they reach the end of their useful lives)</i>	Leading	
<i>Accidents and / or damage to property</i>	Lagging	
<i>Breakdowns</i>	Lagging	2 per month
<i>Notifications from members of the public</i>	Lagging	

Comments

Current Issues / Actions / Treatments	Due Date	Responsibility

Business & Community disruption

Oct-16

Failure to adequately prepare and respond to events that cause disruption to the local community and / or normal business activities. This could be a natural disaster, weather event, or an act carried out by an external party (e.g. sabotage / terrorism).

This includes;

- Lack of (or inadequate) emergency response / business continuity plans.
- Lack of training for 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

This does not include disruptions due to IT Systems or infrastructure related failures - refer "Failure of IT & communication systems and infrastructure".

Potential causes include:

Cyclone, storm, fire, earthquake	Extended utility outage
Terrorism / sabotage / criminal behaviour	Economic Factors
Epidemic / Pandemic	Loss of key staff
Loss of suppliers	Loss of key infrastructure
Climate change	

Controls	Type	Date	Rating
Regular Local and District Emergency Management Committee meetings (LEMC / DEMC)	Detective	Oct-16	
Community recovery preparation	Preventative	Oct-16	
Community fire prevention education	Preventative	Oct-16	
Current Emergency Management Plan	Preventative	Oct-16	
Business Continuity Framework (Policy, Procedures & Plans)	Preventative	Oct-16	
Generator	Recovery	Oct-16	
I.T. Disaster Recovery Plan	Recovery	Oct-16	

Overall Control Ratings:

Consequence Category	Risk Ratings	Rating
----------------------	--------------	--------

Business & Community disruption

Oct-16

Service Interruption / Reputation	Consequence:	
	Likelihood:	
	Overall Risk Ratings:	#N/A

Indicators	Type	Tolerance Level
<i>Extended utility outages</i>	Leading	Zero
<i>Non-compliance with Emergency Management Legislation</i>	Leading	Zero
<i>Resignations / terminations of key personnel</i>	Lagging	Zero

Comments

As rated by with Michael from LGIS on 2016.

Current Issues / Actions / Treatments	Due Date	Responsibility

Failure to fulfil Compliance requirements (statutory, regulatory)

Oct-16

Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated internal & public domain legal documentation. It includes (amongst others) the Local Government Act, Planning & Development Act, Health Act, Building Act, Dog Act, Cat Act, Freedom of Information Act and all other legislative based obligations for Local Government.

It does not include Occupational Safety & Health Act (refer "Inadequate safety and security practices") or any Employment Practices based legislation (refer "Ineffective Employment practices").

Potential causes include:

Lack of training, awareness and knowledge	Lack of Legal Expertise
Staff Turnover	No Compliance Officer or person responsible for Compliance oversight and enforcement
Inadequate record keeping/ failure of corporate electronicsystems	Breakdowns in the tender or procurement process
Ineffective policies & processes	Ineffective monitoring of changes to legislation
Impulsive decision making	Attitudinal problems
Councillor turnover	

Controls	Type	Date	Rating
Compliance Audit Return (DLGC)	Detective	Oct-16	
External Auditor reviews (compliance)	Detective	Oct-16	
Membership of professional associations (AIBS, Building Commission)	Detective	Oct-16	
Online access to current legislation / SAT decisions or interpretations	Detective	Oct-16	
Conferences and seminars	Detective	Oct-16	
Compliance Calendar	Preventative	Oct-16	
Compliance framework & standard operating procedures	Preventative	Oct-16	
Councillor / Staff Induction Process	Preventative	Oct-16	
Subscriptions (WALGA / DLGC / LGMA and other peak bodies)	Preventative	Oct-16	
Use of Consultants / Contractors for legal interpretation	Preventative	Oct-16	
Audit and Risk Committee	Preventative	Oct-16	
Standardised checklists - forms	Preventative	Oct-16	
State Administrative Tribunal / Ombudsman	Recovery	Oct-16	
Strict tender and procurement process (including eQuotes)	Preventative	Oct-16	
Corporate IT systems - electronic submissions	Preventative	Oct-16	
Disability inclusion plan	Detective	Oct-16	

Financial management reviews	Detective	<i>Oct-16</i>	
Government Gazettes	Detective	<i>Oct-16</i>	
Two year Legislative review of compliance	Detective	<i>Oct-16</i>	
Agenda Items - Statutory Obligations	Preventative	<i>Oct-16</i>	
Annual and Primary Returns	Preventative	<i>Oct-16</i>	
Councillor / Staff training	Preventative	<i>Oct-16</i>	
Industry groups (LIWA / Royal Life, AIBS)	Preventative	<i>Oct-16</i>	
Staff Network Channels - interdepartmental meetings	Preventative	<i>Oct-16</i>	
Authority (Civica) have overriding responsibility for compliance of software across all their users and provide updates on regular basis	Preventative	<i>Oct-16</i>	
Governance Service unit in place	Preventative	<i>Oct-16</i>	

Overall Control Ratings:	
---------------------------------	--

Consequence Category	Risk Ratings	Rating
Reputation, Financial	Consequence:	
	Likelihood:	
	Overall Risk Ratings:	#N/A

Indicators	Type	Tolerance Level
<i>Number of FOI applications</i>	Leading	30 per year
<i>3rd party adverse findings against Shire</i>	Lagging	
<i>Audit notifications</i>	Lagging	
<i>Increased scrutiny from regulators or agencies</i>	Lagging	
<i>Letters from the Department of Local Government</i>	Lagging	
<i>Litigation, fines or penalties</i>	Lagging	
<i>Negative response in Compliance Return</i>	Lagging	

Comments

Current Issues / Actions / Treatments	Due Date	Responsibility

Document Management processes

Oct-16

Failure to adequately capture, store, archive, retrieve, provide or dispose of documentation. This includes:

- Contact lists.
- Procedural documents, personnel files, complaints.
- Applications, proposals or documents.
- Contracts.
- Forms or requests.

Potential causes include:

Spreadsheet/database/document corruption or loss	Outdated record keeping practices
Inadequate access and / or security levels	Lack of system/application knowledge
Inadequate Storage facilities (including climate control)	High workloads and time pressures
High Staff turnover	Standard Operating Policies not followed
Incompatible systems	Incomplete Authorisation Trails
Lack of awareness of the State Records Act	Lack of awareness of use of network drives and folders
Historical legacies	

Controls	Type	Date	Rating
Documentation management process audits	Detective	Oct-16	
All incoming documents are scanned and registered	Preventative	Oct-16	
Archival process and secure archive storage room	Preventative	Oct-16	
Document / correspondence receipt & action process	Preventative	Oct-16	
Document security (physical and electronic)	Preventative	Oct-16	
Meridio electronic document management system	Preventative	Oct-16	
Regular reminders to staff to follow standard operating procedures	Preventative	Oct-16	
Ongoing awareness training and education	Preventative	Oct-16	
Disposal and retention schedule.	Preventative	Oct-16	
Document disaster recovery plan	Recovery	Oct-16	
Electronic records back up (Meridio)	Recovery	Oct-16	

Overall Control Ratings:	
---------------------------------	--

Consequence Category	Risk Ratings	Rating
Compliance / Reputation	Consequence:	
	Likelihood:	
	Overall Risk Ratings:	#N/A

Indicators	Type	Tolerance Level
<i>Number of documents not stored electronically or appropriately archived</i>	Leading	
<i>Time lost searching for documentation</i>	Leading	
<i>Number of outstanding records year to date</i>	Lagging	
<i>Complaints relating to documentation</i>	Lagging	

<u>Comments</u>
As rated by with Michael from LGIS on 2016.

Current Issues / Actions / Treatments	Due Date	Responsibility

Employment practices

Oct-16

Failure to effectively manage and lead human resources (full-time, part-time, casuals, temporary and volunteers).

This includes:

- Not having appropriately qualified or experienced people in the right roles.
- Insufficient staff numbers to achieve objectives.
- Breaching employee regulations.
- Discrimination, harassment & bullying in the workplace.
- Poor employee wellbeing (causing stress).
- Key person dependencies without effective succession planning in place.
- Industrial activity.

Potential causes include

Leadership failures	Ineffective performance management programs or procedures
Key / single-person dependencies	Limited staff availability - labour market conditions
Poor internal communications / relationships	Inadequate induction practices
Ineffective Human Resources policies, procedures and practices	Inconsistent application of policies

Controls	Type	Date	Rating
Performance review process (per calendar year)	Detective	Oct-16	
Workforce plan	Detective	Oct-16	
Encourage Staff social activities	Preventative	Oct-16	
Enterprise Bargaining Agreement process	Preventative	Oct-16	
Health and Wellbeing incentives	Preventative	Oct-16	
Strict HR Policies and Procedures	Preventative	Oct-16	
Internal communication / engagement programs	Preventative	Oct-16	
Mentoring program	Preventative	Oct-16	
Induction process (Code of Conduct Component)	Preventative	Oct-16	
Ongoing staff training and education program	Preventative	Oct-16	
Workforce Plan (Succession planning component)	Preventative	Oct-16	
Peer support	Preventative	Oct-16	
Staff multitasking and rotation	Preventative	Oct-16	
Internal relief capacity	Recovery	Oct-16	

Engagement practices

Oct-16

Failure to maintain effective working relationships with the Community (including local Media), Stakeholders, Key Private Sector Companies, Government Agencies and / or Elected Members. This includes activities where communication, feedback 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
- 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;

Relationship breakdowns with community groups	Short lead times
Leadership inattention to current issues	Miscommunication / poor communication
Inadequate documentation or procedures	Inadequate Regional or District Committee attendance.
Budget / funding issues	Inadequate involvement with, or support of community groups
Geographic distance	Media attention

Controls	Type	Date	Rating
Advisory committees / groups	Detective	Oct-16	
Chamber of Commerce Membership	Preventative	Oct-16	
Community-based committees, forums & workshops	Preventative	Oct-16	
Community engagement framework	Preventative	Oct-16	
Public Notices / Local papers / website communication	Preventative	Oct-16	
Social media platforms (Facebook)	Preventative	Oct-16	
Support local Volunteer groups	Preventative	Oct-16	
Network with other Government agencies (DEC, DOW)	Preventative	Oct-16	
Road side signage - inclusive of Fire Danger Rating and variable message boards	Preventative	Oct-16	
Complaints management process	Recovery	Oct-16	

Overall Control Ratings:	
---------------------------------	--

Consequence Category	Risk Ratings	Rating
Reputation	Consequence:	
	Likelihood:	
	Overall Risk Ratings:	#N/A

Indicators	Type	Tolerance Level
<i>% community feeling they have opportunities to participate</i>	Lagging	80%
<i>Number of substantiated complaints referring to poor engagement</i>	Lagging	Zero
<i>Surprise issues being raised in Council, Community or Committee meetings</i>	Lagging	Zero

Comments
As rated by with Michael from LGIS on 2016.

Current Issues / Actions / Treatments	Due Date	Responsibility

Environment management

Oct-16

Inadequate prevention, identification, enforcement and management of environmental issues.

The scope includes;

- Lack of adequate planning and management of coastal erosion issues.
- Failure to identify and effectively manage contaminated sites (including groundwater usage).
- Waste facilities (landfill / transfer stations).
- Weed & mosquito / Vector control.
- Ineffective management of water sources (reclaimed, potable)
- 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	Differing land tenure (land occupancy or ownership conditions)
Prolific extractive industry (sand, limestone, etc)	Competing land use (growing population vs conservation)
Poor management of contaminated sites	Weed and pest management difficulties
Clandestine drug labs disposing of chemicals illegally	Bio-diversity hotspots
Weather events / natural disasters	Fuel or chemical spills
Climate change	Illegal firewood collection / burning / hunting
Complex legislation	

Controls	Type	Date	Rating
Soil sampling of ovals/reserves	Detective	Oct-16	
Support and work with environmental & land care groups	Preventative	Oct-16	
Community education / engagement e.g. schools etc. /new home-owner packs	Preventative	Oct-16	
Litter collection schedule	Preventative	Oct-16	
Vector control	Preventative	Oct-16	
Encourage recycling efforts (glass, oil, batteries, etc)	Recovery	Oct-16	
Catchment management	Detective	Oct-16	
Monitoring water erosion	Detective	Oct-16	
EAC & Friends groups feedback on environmental issues	Detective	Oct-16	
State of the environment report	Detective	Oct-16	
All DER classifications (contaminated sites) are placed on file and closely monitored	Preventative	Oct-16	
Conduct environmental health inspections	Preventative	Oct-16	
Control land use through the Local Planning Scheme	Preventative	Oct-16	
Enforce existing Heritage provisions in planning scheme	Preventative	Oct-16	

Environment Team	Preventative	Oct-16	
Environmental management strategy / Plan	Preventative	Oct-16	
Landfill / waste transfer station managed by	Preventative	Oct-16	
Liquid waste management	Preventative	Oct-16	
Nutrient irrigation management plan	Preventative	Oct-16	
Strategic land use planning; investigations and feasibility studies	Preventative	Oct-16	
Supervision at landfill sites	Preventative	Oct-16	
Vermin control programmes	Preventative	Oct-16	
Weed control policy, strategy and implementation	Preventative	Oct-16	
Volunteer recognition & celebration events	Preventative	Oct-16	
GIS environmental information is up to date & accurate	Preventative	Oct-16	
Old waste sites management program	Recovery	Oct-16	
Post-closure reserve funds held	Recovery	Oct-16	
Revegetating remnant bushland areas	Recovery	Oct-16	

Overall Control Ratings:

Consequence Category	Risk Ratings	Rating
Environment, Reputation, Financial	Consequence:	
	Likelihood:	
	Overall Risk Ratings:	#N/A

Indicators	Type	Tolerance Level
<i>Tonnes per capita recyclable generation</i>	Leading	>5 Tonnes
<i>Decline in vegetation cover</i>	Lagging	5% since last GIS data set (12 years)
<i>Number of validated environmental incidents</i>	Lagging	5 per year

Comments

As rated by with Michael from LGIS on 2016.

Current Issues / Actions / Treatments	Due Date	Responsibility

Errors, omissions & delays

Oct-16

Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process including incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff. Examples include;

- Incorrect planning, development, building, community safety and Emergency Management 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.
- Human error
- Inaccurate recording, maintenance, testing or reconciliation of data.
- Inaccurate data being used for management decision-making and reporting.
- Delays in service to customers

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

Potential causes include:

Human error	Incorrect information
Inadequate formal procedures or training	Miscommunication
Lack of trained staff	Work pressure / stress
Poor use of check sheets / FAQ's	Lack of understanding
Unrealistic expectations from community, council or management	Health issues
Poor internal communication between teams	Historical decisions / advice
Disconnect between financial receipting and systems	Complex legislation
Changes to legislation	

Controls	Type	Date	Rating
Membership of professional associations	Detective	Oct-16	
Attending seminars and conferences	Detective	Oct-16	
Complaints Register	Detective	Oct-16	
Documented information sheets / website information / FAQ's to assist in providing advice to customers	Preventative	Oct-16	
External consultants such as legal	Preventative	Oct-16	
External stakeholder communications (website, news articles)	Preventative		
Formal staff training program (mentoring, formal & on-the-job)	Preventative	Oct-16	
Peer Review process	Preventative	Oct-16	
Draw information from other Government agencies (DPaW, DER, DOW)	Preventative	Oct-16	
Performance development KPI's & reviews	Preventative	Oct-16	
Works requests in writing	Preventative	Oct-16	
Complaints resolution process	Recovery	Oct-16	

Overall Control Ratings:

Consequence Category	Risk Ratings	Rating
	Consequence:	
	Likelihood:	

Reputation / Compliance		Overall Risk Ratings:	
		#N/A	
Indicators	Type	Tolerance Level	
<i>Referral to Ombudsman/Management/Council</i>	Lagging	Zero	
<i>Substantiated complaints regarding errors, omissions, delays or inaccurate advice / information</i>	Lagging	Zero	
<i>Community feedback</i>	Leading		
<i>Insurance claims</i>	Lagging		
Comments			
As rated by with Michael from LGIS on 2016.			
Current Issues / Actions / Treatments		Due Date	Responsibility

External theft & fraud (Inc. Cyber Crime)

Oct-16

Loss of funds, assets, data or unauthorised access, (whether attempted 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

Potential causes include;

Inadequate security of equipment / supplies / cash	Inadequate provision for patrons belongings
Robbery	Lack of Supervision
Scam Invoices	Collusion with internal staff
Cyber crime	

Controls	Type	Date	Rating
Community safety & crime prevention Committee	Detective	Oct-16	
Admin building security access controls (alarms, CCTV, keypad access)	Preventative	Oct-16	
Cash handling processes	Preventative	Oct-16	
Spare keys in strong room / key cabinet	Preventative	Oct-16	
Awareness of cyber crime reminders sent to staff bi-annually			
Stringent IT security systems (contracted)	Preventative	Oct-16	
Insurance for loss	Recovery	Oct-16	
Photographic record of assets	Recovery	Oct-16	

Overall Control Ratings:

Consequence Category	Risk Ratings	Rating
Financial / Property	Consequence:	
	Likelihood:	
	Overall Risk Ratings:	#N/A

Indicators	Type	Tolerance Level
Cyber breaches	Lagging	
Insurance claims	Lagging	
Number of incidents of theft or fraud	Lagging	

Comments

As rated by with Michael from LGIS on 29 September 2016.

External theft & fraud (Inc. Cyber Crime)

Oct-16

Current Issues / Actions / Treatments	Due Date	Responsibility

Management of Facilities / Venues / Events

Oct-16

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

- Inadequate procedures in place to manage quality or availability.
- Poor crowd control
- Ineffective signage
- Booking issues
- Stressful interactions with hirers / users (financial issues or not adhering to rules of use of facility)
- Inadequate oversight or provision of peripheral services (e.g.. cleaning / maintenance)

Potential causes include:

Double bookings	Traffic congestion or vehicles blocking entry or exit
Illegal / excessive alcohol consumption	Insufficient time between bookings for cleaning or maintenance
Bond payments poorly managed	Difficulty accessing facilities / venues.
Inadequate oversight or provision of peripheral services (e.g.. cleaning / maintenance)	Poor service from contractors (such as catering or cleaning)
Falsifying hiring agreements (alcohol on site / lower deposit)	Renovations
Unaccompanied minors/children	Animal Contamination
Failed chemical / health requirements	

Controls	Type	Date	Rating
Event management process in place	Detective	Oct-16	
Feedback from users of facility and community	Detective	Oct-16	
Gym operating procedures for 24 hour opening in place			
Inspection, maintenance and cleaning schedules	Detective	Oct-16	
All departments are kept informed (road works, retic, catering, maintenance, traffic management, etc.) about activities taking place at venues	Preventative	Oct-16	
Booking information sent to Police	Preventative	Oct-16	
Council approval for significant events	Preventative	Oct-16	
Events application and approval procedures	Preventative	Oct-16	
Events package given to hirer (information sheets, events questionnaire / procedures / checklist)	Preventative	Oct-16	

Insurance certificate of currency checked	Preventative	Oct-16	
Waivers signed	Preventative	Oct-16	
Liquor permit checked	Preventative	Oct-16	
Insurance for loss	Recovery	Oct-16	
Key return / bond system / check of facility	Recovery	Oct-16	

Overall Control Ratings:	
---------------------------------	--

Consequence Category	Risk Ratings	Rating
Reputation	Consequence:	
	Likelihood:	
	Overall Risk Ratings:	#N/A

Indicators	Type	Benchmark / Tolerance Level
<i>% Community satisfaction with services and facilities</i>	Leading	90%
<i>Attendance at Shire events</i>	Leading	Within 20% of anticipated numbers
<i>Complaints regarding Facilities / Venues / Events</i>	Lagging	Zero
<i>Injuries / incidents</i>	Lagging	Zero
<i>Insurance claims</i>	Lagging	Zero

Comments

As rated by with Michael from LGIS on 2016.

Current Issues / Actions / Treatments	Due Date	Responsibility

IT or communication systems and infrastructure

Oct-16

Instability, degradation of performance, or other failure of IT or communication system or infrastructure 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

-Networks

-Failures of IT Vendors

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

-Configuration management

-Performance monitoring

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

Potential causes include;

Weather impacts	Non-renewal of licences
Power outage on site or at service provider	Inadequate IT incident, problem management & Disaster Recovery Processes
Out-dated, inefficient or unsupported hardware or software	Lack of process and training
Incompatibility between operating systems	Vulnerability to user error
Cyber crime and viruses	Failure of vendor
Turnover of system administration support	Equipment purchases without input from IT department
Software vulnerability	

Controls	Type	Date	Rating
Performance monitoring by contractor	Detective	Oct-16	
Formal IT Infrastructure replacement / refresh program	Preventative	Oct-16	
IT security access protocols and firewalls	Preventative	Oct-16	
Service level agreement with contractor / Vendor	Preventative	Oct-16	
Disaster Recovery Plan	Recovery	Oct-16	
Multiple data back-up systems	Recovery	Oct-16	
Generator	Recovery	Oct-16	

IT or communication systems and infrastructure

Oct-16

UPS (90min)	Recovery	Oct-16	

Overall Control Ratings:

Consequence Category	Risk Ratings	Rating
Service disruption	Consequence:	
	Likelihood:	
	Overall Risk Ratings:	#N/A

Indicators	Type	Tolerance Level
Cyber breaches	Lagging	Zero
Non-availability of network infrastructure during business hours	Lagging	1 day per year
System downtime	Lagging	1 week

Comments

As rated by with Michael from LGIS on 2016.

Current Issues / Actions / Treatments	Due Date	Responsibility

Misconduct

Oct-16

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
- Inappropriate use of plant, equipment or machinery
- Inappropriate use of social media.
- Inappropriate behaviour at work.
- Purposeful sabotage

This does not include instances where it was not an intentional breach - refer Errors, Omissions or Delays, or Inaccurate Advice / Information.

Potential causes include;

Inadequate training of code of conduct \ induction	Greed, gambling or sense of entitlement
Changing of job roles and functions/authorities	Collusion between internal & external parties
Delegated authority process inadequately implemented	Password sharing
Disgruntled employees	Sharing of confidential information
Lack of internal checks	Low level of Supervisor or Management oversight
Covering up poor work performance	Believe they'll get away with it
Poor enforcement of policies and procedures	Undue influence from Manager / Councillor
Information leaked to Tenderers during the Tender process	Poor work culture
Insubordination	By-passing established administrative procedures

Controls	Type	Date	Rating
Delegation authority framework	Detective	Oct-16	
Audit trail functionality within Council's financial system (SynergySoft)			
External Audits	Detective	Oct-16	
Police clearances	Detective	Oct-16	
Annual drivers licence checks	Preventative	Oct-16	
Cash Handling policy and procedures	Preventative	Oct-16	

IT security access framework (profiles & passwords, and access levels for all staff are consistent with job requirements)	Preventative	Oct-16	
Induction Process (Code of Conduct)	Preventative	Oct-16	
Segregation of duties (Financial / I.T.)	Preventative	Oct-16	
Strong management culture (Zero tolerance for misconduct)	Preventative	Oct-16	
Insurance for loss	Recovery	Oct-16	

Overall Control Ratings:			
---------------------------------	--	--	--

Consequence Category	Risk Ratings	Rating
Reputation / Finance	Consequence:	
	Likelihood:	
	Overall Risk Ratings:	#N/A

Indicators	Type	Tolerance Level
<i>Budget variances</i>	Lagging	10%
<i>Failed Audits</i>	Lagging	Zero
<i>Incidents warranting dismissal</i>	Lagging	Zero
<i>Wilful breach of segregation of duties</i>	Leading	Zero
<i>Suppliers not being paid or complaints from suppliers (not involved in collusion or bribery with staff)</i>	Lagging	Zero

As rated by with Michael from LGIS on 2016.

Current Issues / Actions / Treatments	Due Date	Responsibility

Project / Change management

Oct-16

Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time delays 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
- Inadequate handover process

This does not include new plant & equipment purchases. Refer "Inadequate Asset Sustainability Practices"

Potential causes include:

Lack of communication and consultation	Excessive growth (too many projects)
Lack of investment	Inadequate monitoring and review
Ineffective management of expectations (scope creep)	Project risks not managed effectively
Inadequate project planning (resources/budget)	Lack of project methodology knowledge and reporting requirements
Failures of project Vendors/Contractors	Geographic or transport difficulties sourcing equipment / materials
External consultants underquoting on costs	

Controls	Type	Date	Rating
Post-project debriefs	Detective	Oct-16	
Regional group meetings with other LG's	Detective	Oct-16	
Internal service review methodology			
Adhere to formal project management Methodology	Preventative	Oct-16	
Community engagement policy and framework	Preventative	Oct-16	
Clear project ownership	Preventative	Oct-16	
Preferred list of contractors	Preventative	Oct-16	
Risk assessments are conducted before, during and after handover	Preventative	Oct-16	

Safety and Security practices

Oct-16

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 negligence or carelessness.

Potential causes include:

Lack of appropriate PPE / equipment	Inadequate signage, barriers or other exclusion techniques
Inadequate first aid supplies or trained first aiders	Poor storage and use of dangerous goods
Inadequate security protection measures in place for buildings, depots and other places of work	Ineffective / inadequate testing, sampling or other health-related requirements
Inadequate or unsafe modifications to plant & equipment	Lack of mandate and commitment from senior management
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 supervision, training or mentoring of staff	Slow or inadequate response to notifications from public

Controls	Type	Date	Rating
Hazardous Substance and Dangerous Goods registers	Detective	Oct-16	
Incident register / incident reporting procedures	Detective	Oct-16	
Regular documented safety inspections	Detective	Oct-16	
Contractor site inductions	Preventative	Oct-16	
Drug and alcohol policy	Preventative	Oct-16	
Fitness for work policy	Preventative	Oct-16	
Health and Wellbeing program	Preventative	Oct-16	
Isolated worker management	Preventative	Oct-16	
Regional Risk Coordinator	Preventative	Oct-16	
Purchasing policies and procedures consider safety issues	Preventative	Oct-16	
Safe work practices (Safe Work Method Statements)	Preventative	Oct-16	
Staff inductions	Preventative	Oct-16	
Toolbox meetings	Preventative	Oct-16	
Emergency procedures	Recovery	Oct-16	
Organisational Emergency Management Plan and evacuation diagrams	Preventative	Oct-16	
Return to work programs	Recovery	Oct-16	
EAP	Preventative	Oct-16	
Trained first aiders	Preventative	Oct-16	

Overall Control Ratings:

Consequence Category	Risk Ratings	Rating
Health	Consequence:	Major
	Likelihood:	Possible
	Overall Risk Ratings:	High

Indicators	Type	Tolerance Level
Disciplinary action / staff not following safety procedures	Leading	Zero
Failed safety inspections	Leading	
Near misses	Leading	
Poor OSH Audit results	Leading	75%

Supplier / Contract management

Oct-16

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 (contracts awarded to one supplier)
- Vendor sustainability

Potential causes include:

Insufficient funding	Inadequate contract management practices
Complexity and quantity of work	Ineffective monitoring of deliverables
Inadequate tendering process	Lack of planning and clarity of requirements
Contracts not renewed on time	Historical contracts remaining
Suppliers not willing to provide quotes	Limited availability of suppliers

Controls	Type	Date	Rating
Regular inspections of sites to monitor delivery of contracts	Detective	Oct-16	
Supplier / contractor review meetings	Detective	Oct-16	
Contract management system	Preventative	Oct-16	
Contract register (Meridio, OLR)	Preventative	Oct-16	
Legal advice (to confirm correct drafting of documentation and to prevent unknowingly accepting liability of the contractor or other parties)	Preventative	Oct-16	
Local preferred suppliers list	Preventative	Oct-16	
Strict tender / procurement management process	Preventative	Oct-16	
Utilise WALGA preferred suppliers	Preventative	Oct-16	
Access / feedback from other LG's	Recovery	Oct-16	
Contractor's insurance confirmed	Recovery	Oct-16	

Overall Control Ratings:

Consequence Category	Risk Ratings	Rating
Service interruption, Financial	<i>Consequence:</i>	
	<i>Likelihood:</i>	
	Overall Risk Ratings:	#N/A
Indicators	Type	Tolerance Level
<i>Customer complaints</i>	Leading	
<i>Increased costs >CPI</i>	Leading	
<i>Staff feedback</i>	Leading	
<i>Number of expired contracts not yet renewed</i>	Lagging	
<i>Contract conditions not met</i>	Lagging	
<u>Comments</u>		
As rated by with Michael from LGIS on August 2016.		
Current Issues / Actions / Treatments	Due Date	Responsibility