

## Shire of Dowerin Risk Dashboard Report - February 2025

Asset Management Practices			Risk	Control
			Moderate	Adequate
Failure or reduction in service of infrastructure assets, plant, equipment or machinery. These include fleet, buildings, roads and playgrounds and all other assets during their lifecycle from procurement to disposal.				
Actions	Due Date	Responsibility		
Revaluation of Road Assets	Jun-26	CEO & MIP		
Update RAMM Annually	Completed	MIP		
Link Building Maintenance Schedule to AMP	Jan-26	MCS & MIP		
Review Asset Management Plan	Completed	CEO & MCS		
Review LTFP and Link to AMP	Jan-26	CEO & MCS		
Review Fuel Stock Control System	Jan-26	CEO & MCS		
Implement New Fuel Stock Control System	Completed	CEO / DCEO / AWC		

Business Disruption			Risk	Control
			High	Adequate
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).				
Actions	Due Date	Responsibility		
Annual LEM Exercise Undertaken	July 2025	CEO & MGCS		
Review Business Continuity Plan	Dec 25	CEO		
Business Continuity Plan Drill to be Undertaken Annually	Dec 25	CEO & MCS		
Develop IT Disaster Recovery Plan	Dec 22	MCS		
Fire Breaks Inspected and Enforced Annually	Complete	MCS		
Fire Fighting Equipment Maintained and Serviced Annually	Aug 24	CEO		
Wardens (Internal) - Training of New Wardens	July 2025	MGCS		
Admin Generator Maintained and Serviced	Annually	CEO		
Review Managing Emergencies in Shire Facilities	Complete	MGCS		

Failure to fulfil Compliance Requirements (Statutory and Regulatory)			Risk	Control
			High	Adequate
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.				
Actions	Due Date	Responsibility		
Document Governance Framework	Jul-25	CEO & MGCS		
Continue Implementation of Training Program for Councillors and Staff	Ongoing	CEO & MGRS		
Review Councillor Induction Manual - Every 2 Years	Aug-25	MGCS		
Review Human Resource Management Framework	Aug-25	CEO & MCS		
Review Information Management System	Completed 2023 - ongoing	MCS		
End of Year Financial Audit - Prepare	Oct-25	MCS		
Interim Audit Finding 30 June 2025 - Action of Findings	Progressing	MCS		
Audit Finding 30 June 2024 - Action of Findings	Jun-25	MCS		

Document Management Processes			Risk	Control
			Moderate	Adequate
Failure to adequately capture, store, archive, retrieve, provide or dispose of documentation.				
Actions	Due Date	Responsibility		
Investigate Upgrades Required to Archive Room to Improve Compliance With SRO	Completed	MCS		
Refurbishment of Archive Room to Improve Compliance	Completed	MCS		
Review Sharepoint System	Dec-24	MCS		
Review Information Management Framework	Dec-24	MCS		
Information Management Staff Training	Ongoing	MCS		
Review Record Keeping Plan	Completed	MCS		

Employment Practices			Risk	Control
			Extreme	Inadequate
Failure to effectively manage and lead human resources (full-time, part-time, casuals, temporary and volunteers).				
Actions	Due Date	Responsibility		
Develop a Health and Wellbeing Program	Jun-25	CEO & MGCS		
Review Workforce Plan	Dec-25	CEO & MCS		
Create Checklist for Human Resource Management Framework	Completed	CEO & MCS		
Update Training Register & Develop 2023/2024 Training Program	May-25	CEO & MGRS		
Review Staff Induction Process	Completed	MGCS		
Conduct Annual Drivers License Checks	Annually in Apr	MCS		
Conduct Annual Performance Reviews	Annually in Apr	CEO & MGRS		

Engagement Practices			Risk	Control
			Moderate	Adequate
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.				
Actions	Due Date	Responsibility		
Review Community Complaints, Feedback & Request Handling Process	Dec-25	CEO & MCS		
Review Community Engagement Policy & Framework	Dec-25	CEO & MGRS		
Conduct Community Satisfaction Survey	Completed	CEO & MGCS		
Review Process For Customer Response Requests	Dec-25	MCS		
Review Customer Service Charter (every two years)	As Required	MGCS		
Review Customer Service Charter (every two years)	Jun-25	MGCS		
Update Complaint Register (in accordance to Act)	As Required	MGCS		

Environment Management			Risk	Control
			Moderate	Inadequate
Inadequate prevention, identification, enforcement and management of environmental issues.				
Actions	Due Date	Responsibility		
Develop Waste Water Management Plan & Program	Complete	CEO		
Develop Waste Management Plan & Program	Jun-24	CEO		
Complete Audit of Sewage System	Ongoing	CEO		
Address Compliance of Waste Management	Ongoing	CEO		
Address Compliance of Waste Water Re-Use	Sep-24	CEO		

Errors, Omissions & Delays			Risk	Control
			High	Adequate
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.				
Actions	Due Date	Responsibility		
Review Employee Code of Conduct	Completed	CEO & MGCS		
Review and Document Organisations Controls and Systems	Ongoing	CEO & MCS		
Centralise Checklists, Controls and Procedures	Dec-23	CEO & MCS		
Review Customer Service Complaints & Request Process to include Snap Send Solve	Dec-23	DCEO		

External Theft & Fraud (Including Cyber)			Risk	Control
			Moderate	Inadequate
Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means (including electronic).				
Actions	Due Date	Responsibility		
Review Access Controls to Include Key Register	Dec-25	MIP/TO		
Photographic Record of Minor Assets & Align With Minor Assets Register >\$5,000	Dec-25	MIP/MCS		
Implement Quarterly Schedule For Changing Passwords	Dec-25	MCS		
Review Security and Storage of Records	?	MCS		
Document Financial Management System	Dec-23	MCS		

## Shire of Dowerin Risk Dashboard Report - February 2025

Management of Facilities / Venues / Events		Risk	Control
		Moderate	Inadequate
Failure to effectively manage the day to day operations of facilities, venues and / or events.			
Actions	Due Date	Responsibility	
Develop Event Management Framework	Dec-25	CDC	
Develop Reserves Management Register	Completed	MCS	
Create Inspection and Maintenance Schedules for Event Equipment	Dec-25	CDC	
Undertake Community Facilities Review	Dec-25	CEO & CDC	
Public Buildings Inspected Annually for Compliance	Dec-25	MGCS	

IT or Communication Systems and Infrastructure			Risk	Control
			Moderate	Adequate
Disruption, financial loss or damage to reputation from a failure of information technology systems. 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.				
Actions	Due Date	Responsibility		
Develop IT Disaster Recovery Plan	Dec-22	MCS		
Review IT Management Service Level Agreement	Jan-24	MCS		
Document IT Infrastructure Replacement Program	Dec-24	MCS		
Develop Secure Password Procedure	Dec-24	DCEO		

Misconduct			Risk	Control
			High	Inadequate
Intentional activities intended to circumvent the Code of Conduct or activities in excess of authority, which circumvent endorsed policies, procedures or delegated authority.				
Actions	Due Date	Responsibility		
Review and Document Organisations Controls and Systems	Ongoing	CEO & MCS		
Centralise Checklists, Controls and Procedures	Dec-25	CEO & MCS		
Review Fuel Stock Control and Process	Completed	MCS		
Present Regulation 17 Review to Audit & Risk Committee - Every 3 Years	Dec-25	CEO & MGCS		
Review Purchasing Policy & Procurement Process	Completed	MCS		
Review Social Media Policy 1.12	Completed	MGCS		
Review Code of Conduct (Councillor)	Aug-25	CEO & MGCS		
Conduct Drivers Licence Check Annually	Apr-25	CEO & MCS		

Project / Change Management		Risk	Control
		Moderate	Adequate
Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time delays or scope changes.			
Actions	Due Date	Responsibility	
Develop Project Management Methodology and Framework	Jun-26	MCS	
Review Communication and Engagement Framework	Jun-26	CEO & CDC	

Safety and Security Practices			Risk	Control
			Moderate	Adequate
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.				
Actions	Due Date	Responsibility		
Review Hazard Register	Annually	CEO & MGRS		
Update Staff Training Register	Ongoing	CEO & MGRS		
Conduct Quarterly Workplace Inspections	Monthly	All staff		
Safe Work Method Statements (SWMS) Library	Completed	MIP		
Assess Shire Building and Facility Safety and Security	Nov-25	CEO		
Develop Isolated Worker Management Procedure	Completed	CEO		
Re-Establish WSH Committee & Conduct Quarterly Meetings	Quarterly	CEO & MGCS		
Review Managing Emergencies In Shire Facilities	Completed	CEO & MGCS		
Conduct Annual BCP and LEMC Drills	Dec-25	CEO		
Review Contractor Inductions and Register	Annually	MIP		

Supplier / Contract Management			Risk	Control
			High	Adequate
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.				
Actions	Due Date	Responsibility		
Review Purchasing Policy	Complete	MCS		
Develop Standardised Contracts	Ongoing	CEO & MGRS		
Document Financial Controls	Ongoing	MCS		
Develop Appropriate Financial Reporting Tools	Ongoing	MCS		
Develop Centralised Contract Management System	Ongoing	CEO & MCS		

# Asset Management Practices

Feb-25

Risk Context
Failure or reduction in service of infrastructure assets, plant, equipment or machinery. These include fleet, buildings, roads and playgrounds 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). <i>It does not include issues with the inappropriate use of the Plant, Equipment or Machinery. Refer Misconduct.</i>

Potential causes include;	
Skill level & behaviour of operators	Unavailability of parts
Lack of trained staff	Lack of timely & appropriate maintenance / inspections
Outdated equipment	Unexpected breakdowns
Insufficient budget to maintain or replace assets	

Key Controls	Type	Last Reviewed	Rating
Roads Maintenance Program	Preventative	Jan-24	Effective
Road Asset Management Program (RAMM)	Preventative	Jan-25	Effective
Fleet and Plant Maintenance Program	Preventative	Jan-24	Effective
Building Maintenance Program	Preventative	Jan-24	Effective
Asset Management Plan	Preventative	Sep-22	Adequate
Plant Replacement Program	Preventative	Jan-24	Adequate
Sewerage Maintenance Plan & Program	Preventative	Oct-19	Inadequate
Road Strategy	Preventative	Jun-21	Adequate
Stock Control Systems (Fuel)	Preventative	Dec-24	Effective
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Revaluation of Road Assets	Jun-26	CEO & MIP
Revaluation of Sewerage System	Jun-25	CEO
Revaluation of Other Infrastructure	Jun-25	MCS
Revaluation of Land & Buildings	Completed	MCS
Update RAMM Annually	Completed	MIP
Link Building Maintenance Schedule to AMP	Jan-26	MCS & MIP
Review Asset Management Plan	Completed	CEO & MCS
Review LTFP and Link to AMP	Jan-26	CEO & MCS
Review Fuel Stock Control System	Completed	CEO
Implement New Fuel Stock Control System	Completed	MCS & MIP

Key Performance Indicators	Tolerance	Latest Result	Trend
AMP & LTFP	Reviewed Annually	Not completed	Worsening
Accidents and / or Damage to Property	<2 Per Quarter	14 for annum	Worsening
Annual Road Program Uploaded into RAMM	Annually in June	Updated Dec 24	Improving
10 Year Plant Program Updated	Annually in March	Completed	Improving
Sewer Asset Management Plan Completed	Jun-24		Worsening

Residual Risk Rating			
Consequence Category	Risk Ratings	Rating	
Financial	Consequence:	Moderate (3)	
	Likelihood:	Possible (3)	
	<b>Overall Risk Ratings:</b>		<b>Moderate</b>

**Objective:**  
Maintain assets at a suitable level from procurement to disposal.

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
	Yes	Yes	Yes	Yes	No	
CEO	Yes	Yes	Yes	Yes	No	Staff training and review undertaken
CEO	Yes	Partial	Partial	No	No	
CEO	Yes	Yes	Partial	Yes	No	
MCS	Yes	Yes	Partial	Partial	No	
CEO	Yes	Yes	Yes	Yes	No	
CEO	No	No	No	No	No	Discussions ongoing with Watercorp to hand over asset
CEO	Yes	Yes	Yes	Yes	No	
MCS	Yes	Yes	Yes	Yes	Partial	B-Smart System installed

Original Due Date	Extension 1 Date	Extension 2 Date	Extension 3 Date	Comments / Current Status
				Due 2026 *
				Forms part of handover to WC
				Further documentation to be investigated
				Completed June 2023
				Data updated and staff training undertaken in January 2025
Dec-20	Apr-21	Jun-22	Jun-24	Needs full review as part of ISP
				Adopted September 2023 - review schedule needs to be confirmed
				ISP review being undertaken. LTFP and AMP to be created from ISP
				B-Smart System installed
				B-Smart System installed

KPI / Action Data					
2024	2023	2022	2021	2020	Comments
0		Completed			No review undertaken 2024
14		3	8	8	Rated for 2024 year.
1					Updated Dec 24/Jan 25
					Completed
3					AMP not completed. Working to hand over to water corp.

Additional / Final Comments	

## Business & Community Disruption Feb-25

Risk Context
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
<i>This does not include disruptions due to IT Systems or infrastructure related failures - refer "Failure of IT &amp; communication systems and infrastructure".</i>

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

Key Controls	Type	Last Reviewed	Rating
Local Emergency Management Arrangements (LEMA)	Preventative	Jan 25	<b>Adequate</b>
Business Continuity Plan	Preventative	Aug 22	<b>Adequate</b>
Managing Emergencies in Shire Facilities	Preventative	Oct 23	<b>Adequate</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Annual LEM Exercise Undertaken	July 2025	CEO & MGCS
Review Business Continuity Plan	Dec 25	CEO
Business Continuity Plan Drill to be Undertaken Annually	Dec 25	CEO & MCS
Develop IT Disaster Recovery Plan	Dec 22	MCS
Fire Breaks Inspected and Enforced Annually	Complete	MCS
Fire Fighting Equipment Maintained and Serviced Annually	Aug 24	CEO
Wardens (Internal) - Training of New Wardens	July 2025	MGCS
Admin Generator Maintained and Serviced	Annually	CEO
Review Managing Emergencies in Shire Facilities	Complete	MGCS

Key Performance Indicators	Tolerance	Latest Result	Trend
Missed LEMC Committee Meetings	1 per annum	1	Improving
Number of Firebreak Infringements Issued	5 per annum	14	<b>Worsening</b>
LEMC Annual Exercise Undertaken	1 per annum	0	<b>Worsening</b>
BCP Annual Exercise Undertaken	1 per annum	0	<b>Worsening</b>
Business Continuity Plan Reviewed (every 2nd second)	3 Months	0	<b>Worsening</b>
Develop IT Disaster Plan	3 Months	0	<b>Worsening</b>
Emergencies in Shire Facilities Plan Reviewed ( every 5 years)	6 Months	1	Improving

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Service Interruption; Reputation; Financial	<b>Consequence:</b>	Moderate (3)
	<b>Likelihood:</b>	Likely (4)
	<b>Overall Risk Ratings:</b>	<b>High</b>

<b>Objective:</b> To continue delivery of critical services at acceptable levels following a disruption
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Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Yes	Partial	Yes	Yes	No	Final copy to LEMC in April
CEO	No	No	Yes	No		Needs reviewing
CEO	Yes	Yes	Yes	Yes	No	Completed Dec 23

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Jan-23	2024		Not completed. Must be undertaken in 2025
Dec-24			Not Completed
Dec-23	Dec-24		Not undertaken since 2022
Dec-20	Jun-21	Dec-22	Not undertaken - needs to be investigated and reviewed
			Completed 2024
			Next inspection Aug 25
Dec-24			Currently reviewing due to staff turnover. Went to WHS Committee in Jan.
			Annual servicing undertaken. Currently needs repairing to change over switch
Jun-20	Dec-21	Jun-22	Completed in Dec 23

KPI / Action Data			
2023	2022	2021	Comments
2	1	1	3 Meetings held in 2024
	0	0	14 compliance reminders sent in 2024-2025
0	1	Nil	0 conducted. To be undertaken July 25
0	1	2	To be reviewed by MCS and undertaken by Dec 25
			Review to be undertaken in 2025 year
			Needs to be investigated by CEO/MCS
			Completed in December 23 - 5 year review plan in place

Additional / Final Comments
Reviewed February 25
Thorough investigation required for multiple projects/plans to ensure development was undertaken.

# Failure to fulfil Compliance Requirements and Regulatory)

(Statutory Feb-25

**Risk Context**

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 / Councillor Turnover	No Compliance Officer or person responsible for Compliance oversight and enforcement
Inadequate record keeping / failure of corporate electronic systems	Breakdowns in the tender or procurement process
Ineffective policies & processes	Ineffective monitoring of changes to legislation

Key Controls	Type	Last Reviewed	Rating
Governance Management Framework	Preventative	Ongoing	<b>Adequate</b>
Information Management System	Preventative	Unknown	<b>Adequate</b>
Human Resource Management Framework	Preventative	Ongoing	<b>Inadequate</b>
Access to Accurate & Current Legislation & Regulations	Preventative	Ongoing	<b>Adequate</b>
Governance Calendar	Preventative	Ongoing	<b>Inadequate</b>
Council & Staff Inductions	Preventative	Ongoing	<b>Adequate</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Document Governance Framework	Jul-25	CEO & MGCS
Continue Implementation of Training Program for Councillors and Staff	Ongoing	CEO & MGCS
Review Councillor Induction Manual - Every 2 Years	Aug-25	MGCS
Review Human Resource Management Framework	Aug-25	CEO & MCS
Review Information Management System	Completed 2023 - ongoing	MCS
End of Year Financial Audit - Prepare	Oct-25	MCS
Interim Audit Finding 30 June 2025 - Action of Findings	Progressing	MCS
Audit Finding 30 June 2024 - Action of Findings	Jun-25	MCS

Key Performance Indicators	Tolerance	Latest Result	Trend
Financial and Performance Audit Qualifications	Unqualified Audit	Unqualified Audit	Improving
Financial and Performance Audit Findings Actioned	3 Months		
Compliance Audit Return	As per legislated	Compliant	Constant
Financial Management System Review (Every 3 Years)	As per legislated	Compliant	Constant
CEO Regulation 17 Review (Every 3 Years)	As per legislated	Compliant	Constant
Governance Structure Documented	Dec-24		
Information Management System Review Completed	Dec-24		
Human Resource Management Framework Documented	Dec-24		

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Compliance / Reputation / Financial	<b>Consequence:</b>	Moderate (3)
	<b>Likelihood:</b>	Likely (4)
	<b>Overall Risk Ratings:</b>	<b>High</b>

**Objective:**  
**Compliance with Statutory and Regulatory Local Government obligations, including the Local Government Act, Planning & Development Act, Health Act, Building Act and Freedom of Information Act**

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO & MGCS	Yes	Partial	Yes	No	No	Document has been drafted. Awaiting management review and then Council adoption
CEO & MCS	Partial	Partial	Partial	Partial	No	
CEO & MCS	Partial	No	Partial	Partial	No	No documented framework
MGCS	No	No	Yes	Yes	No	Documentation not required
MGCS	Yes	Partial	Partial	Yes	No	Requires complete internal review and implementation
CEO, MCS	Yes	Yes	Yes	Yes	No	Staff reviewed Dec 24, Council to be reviewed prior to election

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Dec-19	Jun-20	Jun-22	Drafted. Requires review and adption
			Ongoing - new training register and program being developed with staff review process.
			Requires review August/September 2025
Ongoing	Feb-21	Jun-22	Investigation required into whether documentation developed. Update to be given next A&RC
Dec-20	Feb-21	Dec-22	Commenced; Expected to be finalised by September 2023
			Audit to commence October 25
			Interim audit not yet commenced. April 25
			Land, buildings and infrastructure require valuation

KPI / Action Data			
2023	2022	2021	Comments
Unqualified Audit	Unqualified Audit	Unqualified Audit	Rated annually in December
			KPI introduced July 2023
Compliant	Compliant	Compliant	To A&RC February 2025 meeeting
Compliant	Compliant	Not Rated	Revised November 2022; Next due October 2025
Compliant	Compliant	Not Rated	Due 2025
			Not completed
			Not completed
			Not completed

Additional / Final Comments

# Document Management Processes

Feb-25

## Risk Context

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;

Incompatible systems	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

Key Controls	Type	Last Reviewed	Rating
Information Management Framework	Preventative	Dec-20	<b>Adequate</b>
Governance Management Framework	Preventative	Ongoing	<b>Adequate</b>
Recordkeeping Plan	Preventative	Sep-22	<b>Adequate</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Investigate Upgrades Required to Archive Room to Improve Compliance With SRO	Completed	MCS
Refurbishment of Archive Room to Improve Compliance	Completed	MCS
Review Sharepoint System	Dec-24	MCS
Review Information Management Framework	Dec-24	MCS
Information Management Staff Training	Ongoing	MCS
Review Record Keeping Plan	Completed	MCS

Key Performance Indicators	Tolerance	Latest Result	Trend
Information Management Framework Reviewed	Dec-24		
Retention & Disposal Compliant	As legislated		
Record Keeping Plan Annual Report Lodged	As legislated		

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Compliance / Reputation	<b>Consequence:</b>	Moderate (3)
	<b>Likelihood:</b>	Possible (3)
	<b>Overall Risk Ratings:</b>	<b>Moderate</b>

## Objective:

Adequately capture, store, archive, retrieve, provide and ultimately dispose of Shire documentation

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Partial	Partial	Partial	Partial	No	Investigation required
CEO	Yes	Yes	Yes	Yes	No	Completed. Requires adoption
CEO	Yes	Yes	Partial	Yes	No	Ongoing - RKP stage 2 to be undertaken

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Completed			
Completed			
Jun-21	Dec-21	Apr-22	Stage 1 completed
Jun-20	Jun-21	Jun-22	Investigation required
Ongoing			Form part of Induction Process - will need updating to include PRIS framework
Jun-21	Dec-21	Jun-22	Stage 2 requires commencement

KPI / Action Data			
2023	2022	2021	Comments
			Not complete
			To be investigated
			KPI revised July 2023; Rate annually in December

Additional / Final Comments



# Employment Practices

Feb-25

Risk Context
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
Staff training	
Ineffective Human Resources policies, procedures and practices	Inconsistent application of policies

Key Controls	Type	Last Reviewed	Rating
Workforce Plan	Preventative	May-19	Inadequate
Human Resource Management Framework	Preventative	May-19	Inadequate
<b>Overall Control Ratings:</b>			<b>Inadequate</b>

Actions (Treatments)	Due Date	Responsibility
Develop a Health and Wellbeing Program	Jun-25	CEO & MGCS
Review Workforce Plan	Dec-25	CEO & MCS
Create Checklist for Human Resource Management Framework	Completed	CEO & MCS
Update Training Register & Develop 2023/2024 Training Program	May-25	CEO & MGRS
Review Staff Induction Process	Completed	MGCS
Conduct Annual Drivers License Checks	Annually in Apr	MCS
Conduct Annual Performance Reviews	Annually in Apr	CEO & MGRS

Key Performance Indicators	Tolerance	Latest Result	Trend
Training Program (% Completed)	90% per annum	Not rated	Worsening
Absenteeism (% of Personal)	> 10 days per FTE	Not rated	Worsening
Absenteeism (% Unpaid Leave)	> 0 days per FTE	Not rated	Worsening
Employee Turnover (% Turnover Rate of Permanent Staff)	10%	Not rated	Worsening
Performance Reviews (% Completed)	100% per annum	80%	Worsening
Annual Drivers Licenses (% Completed Checks)	100% per annum	90%	Worsening
Workers Compensation Claims	< 1 per annum	0	Improving

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Compliance / Health / Reputational / Financial	<b>Consequence:</b>	Major (4)
	<b>Likelihood:</b>	Almost Certain (5)
	<b>Overall Risk Ratings:</b>	<b>Extreme</b>

**Notes:**

Australian Public Service Commission  
.id informed decisions  
CEMI (UWA)  
National turnover 8.5%

<b>Objective:</b> Effective management and leadership of human resources (full-time, part-time, casual, temporary and volunteer).
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Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO; MGRS	Yes	No	No	Partial	No	Review currently being undertaken
CEO & MCS	Partial	Partial	Partial	No	No	To be investigated.

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
			Plan requires review and implementation. Staff survey to be sent out
Apr-20	Mar-21	Jul-22	Review currently being undertaken
Jun-20	Jun-21	Jun-22	To be investigated
			Full review and plan to be developed for 25/26 FY post staff reviews in April
Mar-20	Sep-20	Jun-22	Completed in December 24
			Conducted 2024 - due April 25
			Performance reviews conducted during April/May 2025

KPI / Action Data			
2023	2022	2021	Comments
	Not Rated	Not Rated	Control not in place to rate indicator
	32%	Not Rated	KPI to be reviewed to consider tolerance and measure
	1.20%	Not Rated	KPI to be reviewed to consider tolerance and measure
	53.96%	Not Rated	KPI to be reviewed to consider tolerance and measure
100%	100%	100%	Rate annually in June
100%	100%	100%	Rate annually in June
1	2	4	Rate annually in June

Additional / Final Comments
Reviewed by Management Team - June 2023
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

# Engagement Practices

Feb-25

**Risk Context**

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.*

**Objective:**  
**Effective working relationships (communication, feedback & consultation) with the Community, local Media, Stakeholders, key Private Sector Companies, Government Agencies and Elected Members.**

**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

Key Controls	Type	Last Reviewed	Rating
Community & Engagement Framework	Preventative	Sep-21	<b>Adequate</b>
Communication & Engagement Policy	Preventative	Sep-21	<b>Adequate</b>
Complaint Handling Process	Preventative	Jun-21	<b>Adequate</b>
Community Satisfaction Survey	Detective	Sep-22	<b>Adequate</b>
Customer Service Charter	Preventative	Sep-22	<b>Adequate</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO, CDC	Yes	Yes	Yes	Yes		Fraud not relevant
CEO, CDC	Yes	Yes	Yes	Yes		Fraud not relevant
CEO, CDC	Yes	Yes	Yes	Yes		Fraud not relevant
CEO, CDC	Yes	Yes	Yes	Yes		Fraud not relevant
CEO, CDC	Yes	Yes	Yes	Yes		Fraud not relevant

Actions (Treatments)	Due Date	Responsibility
Review Community Complaints, Feedback & Request Handling Process	Dec-25	CEO & MCS
Review Community Engagement Policy & Framework	Dec-25	CEO & MGRS
Conduct Community Satisfaction Survey	Completed	CEO & MGCS
Review Process For Customer Response Requests	Dec-25	MCS
Review Customer Service Charter (every two years)	Jun-25	MGCS
Update Complaint Register (in accordance to Act)	As Required	MGCS

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Sep-19	Apr-22	Dec-23	No formal process in place.
Aug-23			To be reviewed post ISP update
Sep-24			Completed Jan 25
Jun-22	Dec-23		Not completed.
Sep-24			Review completed July 24. Requires finalisation
			Register available on Shire website & update as required

Key Performance Indicators	Tolerance	Latest Result	Trend
Number Complaints from the Community Not Responded To	<3 per quarter	?	
Community Satisfaction Survey - Council Leadership within the Community	80% Satisfaction	0%	
Community Satisfaction Survey - How the community is consulted & informed about local issues	80% Satisfaction	0%	
Community Engagement Framework	Completed	Not completed	<b>Worsening</b>

KPI / Action Data			
2023	2022	2021	Comments
	<i>Not Rated</i>	<i>Not Rated</i>	How is this identified?
	<i>70%</i>	<i>Not Rated</i>	ISP survey results pending
	<i>56%</i>	<i>Not Rated</i>	ISP survey results pending
<i>Not completed</i>		<i>Completed</i>	Due Aug 23 - Not completed

**Residual Risk Rating**

Consequence Category	Risk Ratings	Rating
Reputation	<b>Consequence:</b>	<i>Minor (2)</i>
	<b>Likelihood:</b>	<i>Likely (4)</i>
	<b>Overall Risk Ratings:</b>	<b>Moderate</b>

Additional / Final Comments



# Environment Management

Feb-25

## Risk Context

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.

## Objective:

Effective management and protection of our environment

## 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)

Key Controls	Type	Last Reviewed	Rating
Road Engineering & Subdivision Policy (4.4)	Preventative	Aug-21	Inadequate
Recycled Water Management Plan & Program	Preventative	Apr-23	Adequate
Contaminated Sites Register	Preventative	Annual	Adequate
Waste Management Plan & Program	Preventative	Unknown	Inadequate
<b>Overall Control Ratings:</b>			<b>Inadequate</b>

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Yes	Yes	Yes	No	No	Review overdue
CEO	Yes	Yes	Yes	Yes	No	Complete
CEO	Yes	Yes	Yes	Yes	No	Annually maintained
CEO	No	No	No	No	No	Needs reviewing and direction - NEWROC?

Actions (Treatments)	Due Date	Responsibility
Develop Waste Water Management Plan & Program	Complete	CEO
Develop Waste Management Plan & Program	Jun-24	CEO
Complete Audit of Sewage System	Ongoing	CEO
Valuation of Sewage System	Jun-25	CEO
Address Compliance of Waste Management	Ongoing	CEO
Preparation of Refuse Site Closure Plan	Dec-23	CEO
Address Compliance of Waste Water Re-Use	Sep-24	CEO

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Dec-20	Jun-22		Completed
Dec-20	Jun-21	Jun-24	Not undertaken - NEWROC waste management plan?
			Last completed 2005. Next steps dependent on hand over to Water Corp
			Completed
			Completed 2022. Needs to be reviewed as part of handover
			Ongoing
			Not commenced. NEWROC waste initiative???
			Draft plan prepared. No further progress.
Jun-21	Jun-22	Sep-22	Plan submitted to DoH

Key Performance Indicators	Tolerance	Latest Result	Trend
Annual Waste & Recycling Data Reporting	As per legislated	Completed	Constant
Satisfactory Water Sampling For Water Re-Use	100%	Completed	Constant
Asbestos Register	As per legislated	Maintained	Constant
Contaminated Site Register	As per legislated	Maintained	Constant

KPI / Action Data			
2023	2022	2021	Comments
2023/2024	Submitted	Submitted	2023/2024 completed. Next due Oct 2025
100%	200%	200%	Water sampling conducted monthly during irrigation season; rate in December
Maintained	Maintained	Maintained	Last reviewed June 2021; Review annually in June
Maintained	Maintained	Maintained	Maintained

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Environment / Reputation / Financial	<b>Consequence:</b>	Moderate (3)
	<b>Likelihood:</b>	Possible (3)
	<b>Overall Risk Ratings:</b>	<b>Moderate</b>

Additional / Final Comments
Reviewed by Management Team - June 2023

## Errors, Omissions & Delays Feb-25

**Risk Context**  
 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"

**Objective:**  
 Minimal errors, omissions or delays in service delivery and advisory activities

Potential causes include;	
Human error	Incorrect information
Inadequate formal procedures or training	Miscommunication
Lack of trained staff	Work pressure / stress
Unrealistic expectations from community, council or management	Health issues
Poor use of check sheets / FAQ's	Lack of understanding

Key Controls	Type	Date	Rating
Checklists and Documented Procedures	Preventative	Nov-19	Inadequate
Complaints Register	Preventative	Ongoing	Adequate
Complaints Process	Recovery	Ongoing	Adequate
Councillor Information Bulletin	Preventative	Being reviewed	Adequate
Customer Service Charter	Preventative	Commenced 24	Adequate
Delegations & Register	Preventative	Feb-24	Adequate
Electronic Records - Sharepoint	Recovery	Nov-19	Inadequate
External Communications (website, news articles)	Preventative	Ongoing	Adequate
External Consultants (ie. legal)	Preventative	Ongoing	Adequate
Customer Service Request Procedure	Preventative	Unknown	Inadequate
File Note/Documentation	Preventative	Ongoing reviews	Adequate
Internal Communications (staff newsletter, regular meetings)	Preventative	Nov-24	Adequate
Performance Reviews	Preventative	May-24	Adequate
Qualified Building, Health & Planning Officers	Preventative	Jan-25	Adequate
Segregation of Duties (financial control)	Preventative	Jun-24	Adequate
Staff Inductions	Preventative	Nov-24	Adequate
Staff Training (formal & on-the-job)	Preventative	Nov-24	Effective
Council Motions Register	Preventative	Monthly	Adequate
Workforce Plan	Preventative	Feb 25/ongoing	Inadequate
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Review Employee Code of Conduct	Completed	CEO & MGCS
Review and Document Organisations Controls and Systems	Ongoing	CEO & MCS
Centralise Checklists, Controls and Procedures	Dec-23	CEO & MCS
Review Customer Service Complaints & Request Process to include Snap Send Solve	Dec-23	DCEO

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO & MCS	Partial	Partial	Partial	Partial	No	Overall organisation procedures require updating and centralising
CEO	Yes	Yes	Yes	Yes	No	Ongoing review - updated as necessary and annually
CEO	Yes	Yes	Yes	Yes	No	As above
CEO	Yes	Yes	Yes	Yes	No	Ongoing discussion
CEO	Yes	Yes	Yes	Yes	No	Requires review
CEO	Yes	Yes	Yes	Yes	Partial	Review April 25
All Staff	Yes	Yes	Yes	Yes	No	Some departments still using S: instead of sharepoint. Needs finessing
CEO & MGCS	Yes	Yes	Yes	Yes	No	Ongoing reviews
CEO	Yes	Yes	Yes	Yes	No	As per needs
CEO & MCS	Yes	No	No	Yes	No	No formal procedure in place
MCS	Yes	Yes	Yes	Yes	No	
CEO & CDC	Yes	Yes	Yes	Yes	No	Weekly/fortnightly staff meetings taking place
CEO & MGRS	Yes	Yes	Yes	Yes	No	Annually undertaken April/May
CEO	Yes	Yes	Yes	Yes	No	Compliant
CEO & MCS	Yes	Yes	Yes	Yes	Partial	Compliant for 23/24 FY
All MGRS	Yes	Yes	Yes	Yes	No	Reviewed prior to onboarding in December
CEO & MCS	Yes	Yes	Yes	Yes	No	Ongoing process - currently successful
MGCS	Yes	Yes	Yes	Yes	No	Reviewed post any formal meeting
CEO & MGRS	Yes	No	No	No	No	Requires complete review. Currently being undertaken

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Jul-24	Jul-26		Will require review in 2026
			Continuous improvement required
Dec-20	Jun-21	Jun-22	Not completed
Jun-22	Dec-23		Not Completed

Key Performance Indicators	Tolerance	Latest Result	Trend
Legal Claims	0	2	Constant
Number of Complaints Regarding Errors, Omissions or Delays (minor)	0	0	Constant
Number of Complaints Regarding Errors, Omissions or Delays (major)	0	0	Constant
Referral to SAT/Ombudsman/Public Sector Commission	0	0	Constant
Number of Complaints to Local Government Standards Panel	0	0	Constant
External Audit Qualification	Unqualified Audits	Unqualified Audit	Constant
Staff Training Target Met	90%	Not Rated	

KPI / Action Data			
2023	2022	2021	Comments
0	0	0	Rate annually in June
0	0	0	Rate annually in June
0	0	0	Rate annually in June
0	0	0	Rate annually in June
0	0	0	Rate annually in June
	Unqualified Audit	Unqualified Audit	Rate annually in December
	Unable to Rate	Unable to Rate	Rate annually in June; Control to be identified to rate indicator

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Reputation / Compliance	Consequence:	Extreme (5)
	Likelihood:	Possible (3)
	<b>Overall Risk Ratings:</b>	<b>High</b>

**Additional / Final Comments**  
 Reviewed by Management Team - June 2023  
 Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

# External Theft & Fraud (Including Cyber)

Feb-25

## Risk Context

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	

Key Controls	Type	Last Reviewed	Rating
Building Security Access Controls (Keys and Keypad Access)	Preventative	Unknown	Inadequate
Equipment Storage and Access Controls	Preventative	Unknown	Adequate
IT Security Framework (Passwords and Security Protocols)	Preventative	Unknown	Inadequate
Financial Management System	Preventative	Jan-22	Inadequate
<b>Overall Control Ratings:</b>			<b>Inadequate</b>

Actions (Treatments)	Due Date	Responsibility
Review Access Controls to Include Key Register	Dec-25	MIP/TO
Photographic Record of Minor Assets & Align With Minor Assets Register >\$5,000	Dec-25	MIP/MCS
Implement Quarterly Schedule For Changing Passwords	Dec-25	MCS
Review Security and Storage of Records	?	MCS
Document Financial Management System	Dec-23	MCS

Key Performance Indicators	Tolerance	Latest Result	Trend
Number of Cyber Breaches	0	0	Constant
Number of Incidents of Theft or Fraud	0	0	Constant
Passwords Changed Quarterly	100%	?	Worsening

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Financial / Property	Consequence:	Moderate (3)
	Likelihood:	Possible (3)
	<b>Overall Risk Ratings:</b>	<b>Moderate</b>

## Objective:

To prevent a loss of funds, assets, data or unauthorised access by external parties

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Partial	No	No	No	Partial	Key register not up to date
CEO	Partial	Partial	Partial	No	Partial	
MCS	Yes	Yes	Yes	Yes	Partial	NO password control in place
CEO & MCS	Yes	No	Yes	Yes	Partial	RFW document sent May 23 - no finalised document

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Dec-19	Jun-20	Jun-24	Key register needs to be updated and key owners documented
Jun-20	Dec-23		Minor asset register complete. Photographic register not commenced.
Ongoing			Password policy non-existent
Completed?			Progress unknown
Oct-21	Dec-22	Dec-23	Progress unknown

KPI / Action Data			
2023	2022	2021	Comments
0	0	0	Rate annually in June
0	0	0	Rate annually in June
100%	100%	100%	Policy not in place nor procedure for internal use.

Additional / Final Comments

# Management of Facilities / Venues / Events

Feb-25

Risk Context
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)

**Objective:**  
Effective management of the day to day operations of facilities, venues and events.

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.
Falsifying hiring agreements (alcohol on site / lower deposit)	Failed safety / chemical / health requirements
Inadequate oversight or provision of peripheral services (e.g.. cleaning / maintenance)	Poor service from contractors (such as catering or cleaning)

Key Controls	Type	Last Reviewed	Rating
Event Management Framework	Preventative	May-19	Inadequate
Building Maintenance Program	Preventative	May-19	Inadequate
Facility / Venue Booking System	Preventative	May-19	Adequate
Reserves Management System	Preventative	May-19	Adequate
Asset Management Plan	Preventative	May-24	Adequate
Statutory Public Building Compliance Program	Preventative	Nov-21	Inadequate
<b>Overall Control Ratings:</b>			<b>Inadequate</b>

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Yes	Partial	Yes	No	No	Requires update with CRC amalgamation
CEO	Yes	Yes	Yes	Yes	No	Requires update and implementation
MCS	Yes	Yes	Yes	Yes	No	Functional
CEO & MCS	Yes	Yes	Yes	Yes	No	Environmental or Financial Reserves??
MCS & MIP	Yes	Yes	No	No	No	MIP annual review
CEO & MGCS	Partial	Partial	Partial	No	No	Newly recruited EHO to perform inspections 25/26FY

Actions (Treatments)	Due Date	Responsibility
Develop Event Management Framework	Dec-25	CDC
Develop Reserves Management Register	Completed	MCS
Create Inspection and Maintenance Schedules for Event Equipment	Dec-25	CDC
Undertake Community Facilities Review	Dec-25	CEO & CDC
Public Buildings Inspected Annually for Compliance	Dec-25	MGCS
Develop Wheatbelt Heritage Rail Management Plan	Remove	CEO

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Mar-20	Jun-20	Dec-23	Framework requires extensive review due to CRC amalgamation and update of event management processes
			To be looked into
Dec-19	Mar-20	Oct-23	Extended to allow new staff adequate time for reviewing
Jun-20	Feb-21	Aug-23	Process and documents need to be inspected by staff
Dec-20	Nov-21	Apr-22	Completed Nov 22, new EHO to complete by Dec 25
			WHR handed over to

Key Performance Indicators	Tolerance	Latest Result	Trend
Number of Injuries / Incidents at Events	0	0	Worsening
Number of Injuries / Incidents at Facilities	0	0	Constant
Customer Satisfaction Survey - Facilities	<65%	Not Rated	Improving
Compliance of Events and Facilities	>90%	90%	Constant
Reserves Management Register	Maintained	Not Rated	

KPI / Action Data			
2023	2022	2021	Comments
0	0	0	Incident 2023 Xmas festival. Incident 2024 Xmas festival
0	0	0	Rate annually in June
83%	83%	Not Rated	Survey undertaken Feb 25. Awaiting results
Compliant	Compliant	Not Rated	Not rated
	Maintained	Maintained	Financial or environmental?

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Reputation	Consequence:	Minor (2)
	Likelihood:	Likely (4)
	<b>Overall Risk Ratings:</b>	<b>Moderate</b>

Additional / Final Comments

## IT or Communication Systems and Infrastructure Feb-25

Risk Context
Disruption, financial loss or damage to reputation from a failure of information technology systems. 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
Software vulnerability	Equipment purchases without input from IT department
Incompatibility between operating systems	Vulnerability to user error

Key Controls	Type	Last Reviewed	Rating
IT Infrastructure Replacement Program	Preventative	Jul-20	Adequate
IT Management Service Level Agreement	Detective	Early 2018	Adequate
IT Managed Service Agreement Monthly Report	Detective	Monthly	Adequate
IT Disaster Recovery Plan	Recovery		Not Rated
IT System Access Framework	Preventative		Adequate
Secure Password Procedure	Preventative		Inadequate
Advanced Email Protection	Preventative	Aug-20	Effective
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions	Due Date	Responsibility
Develop IT Disaster Recovery Plan	Dec-22	MCS
Review IT Management Service Level Agreement	Jan-24	MCS
Document IT Infrastructure Replacement Program	Dec-24	MCS
Develop Secure Password Procedure	Completed	MCS
Replacement of Phone System	Completed	MCS
Document IT System Framework & Services	Dec-24	MCS

Key Performance Indicators	Tolerance	Latest Result	Trend
Number of Cyber Breaches	0	0	Constant
IT Replacement Program	Developed	Not rated	Constant
IT Disaster Recovery Plan	Developed	Not rated	Constant
Advanced Email Protection	Installed	Installed	Constant
IT System Access Framework	Developed	Not rated	Constant
Document Secure Password Procedure	Developed	Not rated	Constant

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Service Disruption / Financial	Consequence:	Major (4)
	Likelihood:	Possible (3)
	<b>Overall Risk Ratings:</b>	<b>Moderate</b>

**Objective:**  
Stability and performance of information technology and communication systems

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Yes	Yes	Yes	Yes		Needs reviewing
CEO	Yes	Yes	Yes	Yes		Fraud not relevant
MCS	Yes	Yes	Yes	Yes		Fraud not relevant
MCS	Yes	Yes	Yes	Yes		Due June 2021
MCS	Yes	Yes	Yes	Yes	Partial	
MCS	Yes	Yes	Yes	Yes	No	
MCS	Yes	Yes	Yes	Yes	No	

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Dec-20	Jun-21	Dec-22	MCS to check if completed
			Unable to locate documents related to the potential 2 year extension to service agreement. Current agreement expired in 2024 - investigation required
Mar-20	Dec-20	Jun-22	Linked with IT Framework & Services
			Doesn't exist
Sep-21	Completed		VOIP system installed
Mar-21	Jun-21	Dec-22	Deferred until December 2023

KPI / Action Data			
2023	2022	2021	Comments
0	0	0	Rate annually in June
	Not rated	Completed	To be investigated
	Not rated	Not rated	To be investigated
Maintained	Maintained	Maintained	System remains in place
Not rated	Not rated	Not rated	Access systems monitored by two administrators. Access cannot be given without prior consent
Maintained	Maintained	Completed	To be investigated

Additional / Final Comments

# Misconduct

Feb-25

## Risk Context

Intentional activities intended to circumvent the Code of Conduct or activities in excess of authority, 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.*

**Objective:**  
Compliance with our Code of Conduct

## 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
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
Disgruntled employees	Sharing of confidential information

Key Controls	Type	Last Reviewed	Rating
Delegations Register	Preventative	Feb-24	<b>Adequate</b>
Staff Recruitment Process (includes Police Clearance)	Preventative	Feb-19	<b>Inadequate</b>
Staff Inductions	Preventative	Nov-24	<b>Adequate</b>
External Audits	Preventative	May-20	<b>Inadequate</b>
Annual Drivers Licence Checks	Preventative	Jun-23	<b>Adequate</b>
Social Media Policy	Preventative	Jul-24	<b>Adequate</b>
Segregation of Duties (Financial)	Preventative	Jul-20	<b>Inadequate</b>
Financial Management Policy	Preventative	May-20	<b>Inadequate</b>
Financial Authorisation Policy	Preventative	May-20	<b>Inadequate</b>
Delegation Control - Synergy	Preventative	Dec-24	<b>Adequate</b>
Financial Interests Returns Declarations	Preventative	Ongoing	<b>Adequate</b>
Primary and Annual Returns Process	Preventative	Aug-24	<b>Adequate</b>
Petty Cash Policy	Preventative	May-20	<b>Inadequate</b>
Corporate Credit Card Policy	Preventative	Apr-21	<b>Inadequate</b>
Delegated Authority for Procurement	Preventative	Jul-24	<b>Adequate</b>
Elected Member Training Plan	Preventative	Ongoing	<b>Adequate</b>
Audit & Risk Committee Terms of Reference	Preventative	Nov-20	<b>Inadequate</b>
IT Security Access Register (Profiles & Passwords)	Preventative	90 Days	<b>Inadequate</b>
Purchasing Policy & Procurement Process	Preventative	Jun-24	<b>Adequate</b>
Financial Management Systems Review	Preventative	Sep-19	<b>Inadequate</b>
Regulation 17 Review	Preventative	Dec-19	<b>Adequate</b>
Related Parties Disclosures Policy	Preventative	Feb-23	<b>Adequate</b>
Code of Conduct	Preventative	Feb-21	<b>Adequate</b>

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	Yes	Yes	Yes	Yes	Partial	2025 review to be adopted in April
CEO	Yes	Yes	Yes	Yes	Partial	Needs review
CEO & MCS	Yes	Yes	Yes	Yes	No	
CEO & MCS	Yes	Yes	Yes	Yes	No	Needs review
CEO & MCS	Yes	Yes	Yes	Yes	No	
CEO & MCS	Yes	Yes	Yes	Yes	Partial	Needs review
CEO & MCS	Yes	Yes	Yes	Yes	No	Needs review
CEO & MCS	Yes	Yes	Yes	Yes	No	Needs review
CEO & MCS	Yes	Yes	Yes	Yes	Partial	
CEO & MCS	Yes	Yes	Yes	Yes	No	
MGCS	Yes	Yes	Yes	Yes	Partial	
CEO & MCS	Yes	Yes	Yes	Yes	No	Needs review
CEO & MCS	Yes	Yes	Yes	Yes	No	Needs review
CEO & MCS	Yes	Yes	Yes	Yes	Partial	
CEO & MCS	Yes	Yes	Yes	Yes	Partial	Policy updated June 24
CEO & MCS	Yes	Yes	Yes	Yes	Partial	Unable to locate reviewed documentation
CEO & MCS	Yes	Yes	Yes	Yes	No	Review due 2025
CEO & MCS	Yes	Yes	Yes	Yes	No	Reviewed Feb 23
CEO & MCS	Yes	Yes	Yes	Yes	No	



**Overall Control Ratings: Inadequate**

Actions (Treatments)	Due Date	Responsibility
Review and Document Organisations Controls and Systems	Ongoing	CEO & MCS
Centralise Checklists, Controls and Procedures	Dec-25	CEO & MCS
Review Fuel Stock Control and Process	Completed	MCS
Present Regulation 17 Review to Audit & Risk Committee - Every 3 Years	Dec-25	CEO & MGCS
Review Purchasing Policy & Procurement Process	Completed	MCS
Review Social Media Policy 1.12	Completed	MGCS
Review Code of Conduct (Councillor)	Aug-25	CEO & MGCS
Prepare Credit Card Procedure	Completed	MCS
Conduct Drivers Licence Check Annually	Apr-25	CEO & MCS

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Dec-20	Ongoing		Progressing
Dec-20	Jun-21	Jun-24	Sharepoint review needed. Rescheduled due to workloads of new staff
May-20	Apr-21		Processed reviewed & procedures implemented for fuel & materials
			Due Dec 25
Mar-20	Apr-23	Jun-23	Review completed May 24
Oct-19	Completed		Reviewed July 24
			Review scheduled for Aug 25 for Election
Sep-21	Completed		Credit Card authorisation forms and agreements in place - to be reviewed Dec 25
			Review required April 2025

Key Performance Indicators	Tolerance	Latest Result	Trend
Unqualified External Audits (# of Significant Findings)	0	Unqualified	Constant
Disregarding or Manipulating Procurement Process	Nil	Not rated	Constant
Breaches of Code of Conduct	Nil	3	<b>Worsening</b>
Internal & External Complaints (Minor)	< 1 per quarter	0	Constant
Internal & External Complaints (Major)	0	0	Constant
Adherence to Internal Controls	Nil	Not rated	Constant

KPI / Action Data			
2023	2022	2021	Comments
<i>Unqualified</i>	<i>Unqualified</i>	<i>Unqualified</i>	Rate annually in December
<i>Not rated</i>	<i>0</i>	<i>35</i>	Rate annually in December
<i>1</i>	<i>1</i>	<i>4</i>	Rate annually in December
<i>0</i>	<i>0</i>	<i>0</i>	Rate annually in December
<i>0</i>	<i>0</i>	<i>0</i>	Rate annually in December
<i>Unable to rate</i>	<i>Unable to Rate</i>	<i>Unable to Rate</i>	Controls to be ID

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Reputation / Finance	<b>Consequence:</b>	<i>Major (4)</i>
	<b>Likelihood:</b>	<i>Likely (4)</i>
	<b>Overall Risk Ratings:</b>	<b>High</b>

Additional / Final Comments

# Project / Change Management

Feb-25

Risk Context
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 <i>This does not include new plant &amp; equipment purchases. Refer "Inadequate Asset Sustainability Practices"</i>

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

Key Controls	Type	Last Reviewed	Rating
Project Management Methodology and Framework	Preventative		<b>Not Rated</b>
Communication and Engagement Framework	Preventative	Aug-21	<b>Adequate</b>
Risk Management Framework	Detective	Mar-22	<b>Adequate</b>
Financial Management Framework	Preventative	Dec-22	<b>Inadequate</b>
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Develop Project Management Methodology and Framework	Jun-26	MCS
Review Communication and Engagement Framework	Jun-26	CEO & CDC

Key Performance Indicators	Tolerance	Latest Result	Trend
Minimisation of Project Variations	<90%	90%	
Achievement of Project Deadlines / Milestones	<90%	80%	
Community Engagement Framework Review (Every 2 Years)	Completed	0%	

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Financial / Reputational / Health	<b>Consequence:</b>	Moderate (3)
	<b>Likelihood:</b>	Possible (3)
	<b>Overall Risk Ratings:</b>	<b>Moderate</b>

**Objective:**  
 Adequate analysis, design, delivery and reporting of projects

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	No	No	No	No	Partial	For investigation
CEO	Yes	Yes	Yes	Yes	No	
CEO & MCS	Yes	Yes	Yes	Yes	No	
CEO & MCS	Yes	Yes	Yes	Yes	Partial	RFQ for Dec 22 - unknown status

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
Oct-19	Dec-20	Dec-23	Project management templates in place; process yet to be documented
Mar-22	Aug-23		Review not undertaken yet

KPI / Action Data			
2023	2022	2021	Comments
Unable to Rate	Unable to Rate	Unable to Rate	Nil project variations for FY. Town greening and Skatepark
Unable to Rate	Unable to Rate	Unable to Rate	Minimal project deadlines not met. Skatepark varied
0	Not Rated	Completed	Not commenced

Additional / Final Comments

## Safety and Security Practices Feb-25

**Risk Context**  
 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

Key Controls	Type	Last Reviewed	Rating
Building Security Access Controls (Keys & Keypad Access)	Preventative	Sep-19	Inadequate
OSH Management Framework	Preventative	Jan-25	Not Rated
Human Resource Management Framework	Preventative	May-19	Inadequate
Governance Management Framework	Preventative	Ongoing	Adequate
Managing Emergencies In Shire Facilities	Preventative	Dec-23	Adequate
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Review Hazard Register	Annually	CEO & MGRS
Update Staff Training Register	Ongoing	CEO & MGRS
Conduct Quarterly Workplace Inspections	Monthly	All staff
Safe Work Method Statements (SWMS) Library	Completed	MIP
Assess Shire Building and Facility Safety and Security	Nov-25	CEO
Develop Isolated Worker Management Procedure	Completed	CEO
Re-Establish WSH Committee & Conduct Quarterly Meetings	Quarterly	CEO & MGCS
Review Managing Emergencies In Shire Facilities	Completed	CEO & MGCS
Conduct Annual BCP and LEMC Drills	Dec-25	CEO
Review Contractor Inductions and Register	Annually	MIP

Key Performance Indicators	Tolerance	Latest Result	Trend
Reporting and Management of Incidents	100%	100%	Improving
Failed Safety Inspections	Nil	Nil	Constant
Lost Time Injuries Per Quarter	Nil	Unable to rate	Constant
Near Misses Per Quarter	Nil	Nil	Improving
Workers Compensation Claims Per Quarter	Nil	0	Improving
Safety Audit Result % (Every Three Years)	95%	74%	Constant

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Health	<b>Consequence:</b>	Moderate (3)
	<b>Likelihood:</b>	Possible (3)
	<b>Overall Risk Ratings:</b>	<b>Moderate</b>

**Objective:**  
 Compliance with the Occupation Safety & Health Act, associated regulations and standards, and the ability to ensure the physical security requirements of staff, contractors and visitors.

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO	No	No	No	No	Partial	Needs complete reviewing
CEO	Yes	Partial	Yes	Yes	No	Review underway
CEO & MCS	Partial	Partial	Partial	Partial	No	Document review required
CEO & MGCS	Yes	Partial	Yes	Yes	No	Completed. Requires adoption
CEO & MGCS	Yes	Yes	Yes	Yes	No	Completed

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
			Being undertaken - ETA April 25
			Annual update and implementation
			Inspection schedules implemented and shared across entire organisation
May-22	Jun-22		SMWS in place for all plant
Nov-23			Last completed Nov 22
			Completed
			Quarterly meetings conducted. HSR staff reps trained Nov 24
Dec-21	Jun-22	Dec-23	Completed and implemented
Dec-23			Not completed. To be reviewed and schedule put in place
			To be conducted annually

KPI / Action Data			
2023	2022	2021	Comments
100	Not Rated	Unable to Rate	Processes improving and being well implemented within team
nil	Not Rated	Unable to Rate	Improving
Not Rated	Note Rated	Unable to Rate	Not rated
Nil	0	4	Rated annually in December
0	1	2	Improving.
Not rated	Not Rated	74%	Safety Audit being undertaken in July 25

**Additional / Final Comments**

# Supplier / Contract Management

Feb-25

Risk Context
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:
<ul style="list-style-type: none"> <li>Concentration issues (contracts awarded to one supplier)</li> <li>Vendor sustainability</li> </ul>

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

Key Controls	Type	Last Reviewed	Rating
Annual Budget	Preventative	Feb-25	Adequate
Financial Management Framework	Preventative	?	Inadequate
Access to Independent Advice (WALGA/Lawyers) & Peer Review	Preventative	Ongoing	Effective
<b>Overall Control Ratings:</b>			<b>Adequate</b>

Actions (Treatments)	Due Date	Responsibility
Review Purchasing Policy	Complete	MCS
Develop Standardised Contracts	Ongoing	CEO & MGRS
Document Financial Controls	Ongoing	MCS
Develop Appropriate Financial Reporting Tools	Ongoing	MCS
Develop Centralised Contract Management System	Ongoing	CEO & MCS

Key Performance Indicators	Tolerance	Latest Result	Trend
Contracts Reviewed And Maintained	>90%	Not Rated	Worsening
Number of Expired Contracts Not Yet Renewed	<1 per quarter	Not Rated	Worsening

Residual Risk Rating		
Consequence Category	Risk Ratings	Rating
Service Interruption / Financial	<b>Consequence:</b>	Major (4)
	<b>Likelihood:</b>	Possible (3)
	<b>Overall Risk Ratings:</b>	<b>High</b>

**Objective:**  
Adequate management (including contractual arrangements) of external Suppliers, Contractors, IT Vendors or Consultants engaged for operations.

Control Assurance						
Control Owner	Control Documented	Completed	Accuracy	Timeliness	Fraud	Comments
CEO & MCS	Yes	Yes	Yes	Yes	No	
CEO & MCS	Yes	Yes	Yes	Yes	Partial	Unable to locate finalised framework
CEO & MGRS	Yes	Yes	Yes	Yes	No	

Original Due Date	Extension 1 Date	Extension 2 Date	Comments / Current Status
			Completed May 24
			Standardised MOUs; Service Level Agreements; Tenancy Agreements; Contracts
			Controls in place; constantly reviewing for improvement
			Continuous training to utilise all tools
			To be reviewed and options analysed.

KPI / Action Data			
2023	2022	2021	Comments
90%	90%	90%	Rate annually in December
1	2	1	Rate annually in December

Additional / Final Comments

Measures of Consequence

RATING	PEOPLE	INTERRUPTION TO SERVICE	REPUTATION	COMPLIANCE	PROPERTY	NATURAL ENVIRONMENT	FINANCIAL IMPACT	PROJECT	
			(Social / Community)		(Plant, Equip, Buildings)			Time	Budget
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	Less than \$5,000	Exceeds deadline by 5% of project	Exceeds project budget by 5%
Minor (2)	First Aid Treatment	Short term temporary interruption	Substantiated, localised impact on community trust or low media item	Some temporary non compliances	Localised damage rectified by	Contained, reversible impact	\$5,001 - \$50,000	Exceeds deadline by 10% of project	Exceeds project budget by 10%
Moderate (3)	Medical treatment / Lost time injury <30 Days	Medium term temporary interruption	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	Contained, reversible impact	\$50,001 - \$200,000	Exceeds deadline by 15% of project	Exceeds project budget by 15%
Major (4)	Lost time injury >30 Days / temporary disability	Prolonged interruption of services – additional	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	Uncontained, reversible impact	\$200,001 - \$500,000	Exceeds deadline by 20% of project	Exceeds project budget by 20%
Extreme (5)	Fatality, permanent disability	Indeterminate prolonged interruption of	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	Uncontained, irreversible impact	More than \$500,000	Exceeds deadline by 25% of project	Exceeds project budget by 25%

Measures of Likelihood

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

Risk Matrix

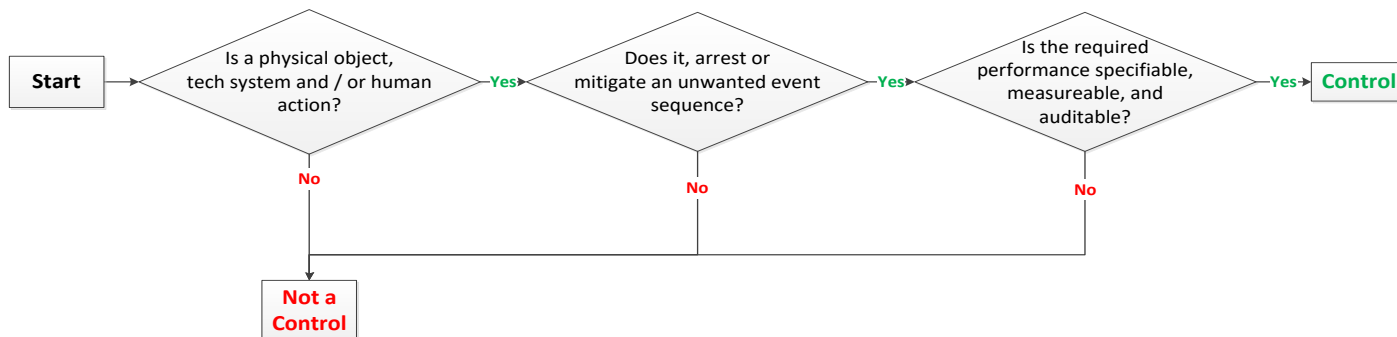
	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	Moderate (5)	High (10)	High (15)	Extreme (20)	Extreme (25)
Likely (4)	Low (4)	Moderate (8)	High (12)	High (16)	Extreme (20)
Possible (3)	Low (3)	Moderate (6)	Moderate (9)	High (12)	High (15)
Unlikely (2)	Low (2)	Low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

Risk Acceptance Criteria

Risk Rank	Description	Criteria	Responsibility
LOW	Acceptable	Risk acceptable with adequate controls, managed by routine procedures and subject to annual monitoring	Operational Manager
MODERATE	Monitor	Risk acceptable with adequate controls, managed by specific procedures and subject to semi-annual monitoring	Operational Manager
HIGH	Urgent Attention Required	Risk acceptable with excellent controls, managed by senior management / executive and subject to monthly monitoring	DCEO / CEO
EXTREME	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

Existing Controls Ratings

Rating	Foreseeable	Description
Effective	There is <u>little</u> scope for improvement.	Processes (Controls) operating as intended and aligned to Policies / Procedures. Subject to ongoing monitoring. Reviewed and tested regularly.
Adequate	There is <u>some</u> scope for improvement.	Processes (Controls) generally operating as intended, however inadequacies exist. Nil or limited monitoring. Reviewed and tested, but not regularly.
Inadequate	There is a <u>need</u> for improvement or action.	Processes (Controls) not operating as intended. Processes (Controls) do not exist, or are not being complied with. Have not been reviewed or tested for some time.



Lagging Indicator

Indicators relating to a result or outcome. Lag means the indicator will change after something happens. The indicator measures the results of an action. Looks back as to whether the intended result was achieved)

Leading Indicator

Indicators measures an input that leads to a result. Often related to something you can influence. How to produce desired results. Looks forward at future outcomes.



## Risk Register - Updated March 2024

Theme	Key Control	Rating	KPI	Comment
Asset Management Practices	Sewerage Maintenance Plan & Program	Indequate		Scheduled to complete December 2023
Asset Management Practices	KPI - Accidents/Damage to Property	7	<2 Per Quarter	Worsening
Engagement	Community Satisfaction Survey - Council leadership in the community		70%	Worsening
Engagement	Community Satisfaction Survey - How the community is consulted & informed about local		56%	Worsening
Environment Management	Sewerage Maintenance Plan & Program	Inadequate		Scheduled to complete December 2023
Environment Management	Waste Management Plan	Not Rated		Scheduled for December 2023
Management of Facilities/Venues/Events	Event Management Framework	Not Rated		Plan in place; overall framework to be completed
IT or Communication Systems & Infrastructure	IT Disaster Recovery Plan	Not Rated		
Project/Change Management	Project Management Methodology & Framework	Not Rated		Templates in place; procedures to be developed