



# Risk Management and Audit Committee (RMAC) BUSINESS PAPER Wednesday 23 February 2022

Meeting to be held commencing 10.00am  
In the Council Chambers at 7 Bees Creek Road, Freds Pass

A handwritten signature in black ink, appearing to read 'Daniel Fletcher'.

**Daniel Fletcher, Chief Executive Officer**

Any member of Council who may have a conflict of interest, or a possible conflict of interest in regard to any item of business to be discussed at a Council meeting or a Committee meeting should declare that conflict of interest to enable Council to manage the conflict and resolve it in accordance with its obligations under the Local Government Act and its policies regarding the same.

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## RMAC AGENDA

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### LITCHFIELD COUNCIL RMAC MEETING

#### Notice of Meeting

to be held in the Council Chambers, Litchfield  
on Wednesday, 23 February 2022 at 10.00am

Daniel Fletcher  
Chief Executive Officer

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1. Opening of meeting

2. Apologies and Leaves of Absence

3. Disclosure of Interests

Any member of the RMAC who may have a conflict of interest, or a possible conflict of interest regarding any item of business to be discussed at the RMAC meeting should declare that conflict of interest to enable Council to manage the conflict and resolve it in accordance with its obligations under the Local Government Act and its policies regarding the same.

4. Presentations

Private Q&A between RMAC and KPMG.

5. Confirmation of Minutes

THAT the full minutes of the Risk Management and Internal Audit Committee Meeting held Tuesday 26 October 2021, 4 pages, be confirmed.



# RISK MANAGEMENT AND AUDIT COMMITTEE MINUTES

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## LITCHFIELD COUNCIL COMMITTEE MEETING

### Minutes of Meeting

held in the Council Chambers, Litchfield  
on Tuesday 26 October 2021 at 10.00am

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<b>Present</b>	Garry Lambert Mark Sidey (Councillor) Mathew Salter (Councillor) Mayor Doug Barden	Chairperson Committee Member Committee Member Observer
<b>Staff</b>	Daniel Fletcher Leon Kruger Arun Dias Rebecca Taylor Bianca Hart	Chief Executive Officer General Manager Infrastructure and Operations General Manager Business Excellence Policy & Governance Program Leader Manager Corporate Services
<b>In Attendance</b>	Luke Snowdon/Cy Balmes	KPMG – Auditor

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### 1. OPENING OF THE MEETING

The Chairperson, Garry Lambert opened the Meeting at 10.00am.

### 2. APOLOGIES AND LEAVE OF ABSENCE

Nil.

### 3. DISCLOSURES OF INTEREST

No disclosures of interest were declared.

**4. CONFIRMATION OF MINUTES**

Moved: Chairperson Garry Lambert  
Seconded: Cr Sidey

THAT the full minutes of the Risk Management and Audit Committee Meeting held Tuesday 3 August 2021, 4 pages, be confirmed.

**CARRIED**

**5. BUSINESS ARISING FROM THE MINUTES**

Moved: Cr Salter  
Seconded: Cr Sidey

THAT Council receives and notes the Action Sheet.

**CARRIED**

**6. PRESENTATIONS**

Nil.

**7. ACCEPTING OR DECLINING LATE ITEMS**

Nil.

**8. OFFICERS REPORTS**

**8.1 Annual Financial Statements 2020-21**

Moved: Cr Salter  
Seconded: Cr Sidey

THAT the Risk Management and Audit Committee confirms:

1. the draft Litchfield Council 2020-21 Financial Statements are suitable for certification by the Chief Executive Officer for inclusion in the Annual Report and presented to Council;
2. following an amendment to move proceeds on sale of assets from sundry income to sundry expenses, the draft Thorak Regional Cemetery Financial Statements 2020-21 are suitable for certification by the Chief Executive Officer for inclusion in the Annual Report and presented to Council; and
3. the Summary of Financials are suitable for inclusion in the Annual Report and presented to Council.

**CARRIED**

## **8.2 Records Management Audit**

Moved: Cr Sidey  
Seconded: Cr Salter

THAT RMAC receives and notes the Records Management Audit Report.

**CARRIED**

## **8.3 Meeting Schedule and Workplan**

Moved: Cr Salter  
Seconded: Cr Sidey

THAT RMAC endorse the meeting schedule and workplan for 2022.

**CARRIED**

## **8.4 PACMan Committee Minutes**

Moved: Cr Sidey  
Seconded: Cr Salter

THAT RMAC accept and note the minutes from the PACMan Committee meeting dated 26 August 2021 and 23 September 2021.

**CARRIED**

## **9. OTHER BUSINESS**

### **9.1 Long Term Financial Model**

Management provided clarification between the Long Term Financial Model and the Long-Term Financial Plan. Management also provided an update on the expression of interests received from potential providers.

## **10. CONFIDENTIAL ITEMS**

Nil.

**11. CLOSE OF MEETING**

The Chair closed the meeting at 11:16am.

**MINUTES TO BE CONFIRMED**

Wednesday 23 February 2022

.....  
Chairperson  
Garry Lambert

unconfirmed



6. Business Arising from the minutes

THAT Council receives and notes the Action Sheet

Meeting Date	Agenda Item & Resolution	Status
03/08/2021	<p>THAT the Risk Management and Audit Committee:</p> <ul style="list-style-type: none"> <li>1) receive and note the audit report from CT Management Group;</li> <li>2) support management to undertake expressions of interest inviting competitive quotes to replace the existing Long Term Financial Model no later than December 2021.</li> </ul>	2) CT Management has been engaged to procure the Long-Term Financial Plan. Complete.
03/08/2021	THAT the Risk Management and Audit Committee note the progress on internal audits.	- Tree Risk Management Audit to be presented in this agenda (23 February 2021)

7. Accepting or Declining Late Items

8. Officer Reports



## RMAC REPORT

<b>Agenda Item Number:</b>	8.01
<b>Report Title:</b>	Closing Audit Report 2020-21
<b>Author:</b>	Maxie Smith, Manager Corporate Services
<b>Recommending Officer:</b>	Arun Dias, General Manager Business Excellence
<b>Meeting Date:</b>	23/02/2022
<b>Attachments:</b>	A: KPMG – Closing Audit Report 2020-21 B: Management Responses

### Executive Summary

This report provides the Risk Management and Audit Committee (RMAC) KPMG's closing audit report for financial year ended 30 June 2021 and Management's responses to audit observations raised.

### Recommendation

THAT RMAC ...

1. receive and note the closing audit report from KPMG for year ending 30 June 2021; and
2. receive Management's responses to audit observations raised by KPMG.

### Background

KPMG conducted an external audit for the General Purpose Financial Statements for Litchfield Council and the Special Purpose Financial Statements for Thorak Cemetery for financial year ending 30 June 2020.

As part of the audit, a total of nine significant audit matters were raised which require management's responses. Attachment B includes Management's response to these matters.

Management will bring a report to the May RMAC with updates to the open items.

### Links with Strategic Plan

A Well-Run Council - Good Governance

## Legislative and Policy Implications

The closing audit report and management comments for each audit observation for 30 June 2021 has been provided in compliance with Council’s FIN09 Risk Management and Audit Committee Policy.

## Risks



Nil identified.

## Financial Implications

Nil.

## Community Engagement

Not applicable.



# Litchfield Council

## Year-end Report to the Risk Management and Audit Committee

For the year ended 30 June 2021

18 October 2021

# Introduction

## To the Risk Management and Audit Committee of Litchfield Council

We are pleased to provide you the results of our audit of the financial statements of Litchfield Council (the 'Council') as at and for the year ended 30 June 2021.

This report should be read in conjunction with our audit plan provided on 23 April 2021.

Our audit is substantially complete. There have been no significant changes to our audit plan and strategy.

Subject to the Council's approval, we expect to be in a position to issue our audit opinion on the Council's financial statements on 26 October 2021, provided that the outstanding matters noted on page 3 of this report are satisfactorily resolved.

We expect to issue an unmodified auditor's report.

We draw your attention to the important notice on page 17 of this report, which explains:

- the purpose of this report;
- the limitations on work performed; and
- the restrictions on distribution of this report.

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Our audit findings

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# Our audit findings

## Audit focus areas

The audit focus areas as outlined in our audit plan are summarised on Page 4.

## Corrected audit misstatements

Movement	\$'000	
Surplus	266	Credit
Total assets	-	
Total liabilities	(266)	Debit

## Uncorrected audit misstatements

There were no uncorrected audit misstatement for the current year.

## Audit status and outstanding matters

There have been no significant changes to our audit plan and strategy. Our audit is complete subject to the following:

- receipt of signed management representation letter;
- receipt of signed Chief Executive Officer's Statement;
- completion of subsequent events review;
- resolving outstanding questions on the draft annual report; and
- finalise audit report and issue.

On 26 July 2021, we reported our management letter to the Risk Management and Audit Committee. There were no updates to report in relation to the letter.



# Audit focus areas – Findings at a glance

Significant audit matters	Number of:		
	Uncorrected misstatements	Corrected misstatements	Other Matters Noted
1 Revenue recognition	–	2	–
2 Expected credit losses (ECL)	–	–	–
3 Property, plant and equipment (PPE) valuations	–	–	4
4 Payroll and other employment benefits	–	1	1
5 Management override of controls	–	–	1

‘–’ indicates no findings

# Audit focus areas

## 1 Revenue recognition

### Significant audit matter

#### Audit risks

- Revenue recognition does not comply with Australian Accounting Standards.
- Revenue recognised to achieve a desired outcome.
- Revenue is recorded in the incorrect period.

#### Our response

- Reviewed key revenue controls to assess recognition, existence and accuracy of revenue;
- Reviewed material contracts to assess the consistent application of the Australian Accounting Standards;
- Performed substantive test of detail procedures; and
- Performed revenue completeness testing.

#### Our findings

The corrected audit misstatements relate to 2 income transactions incorrectly recognised as a liability. Refer to page 8 for the details of these transactions.

No other issues noted.

Revenue recognition applied is consistent with Australian Accounting Standards.

## 2 Expected credit losses (ECL)

### Significant audit matter

#### Audit risks

- Trade receivables not appropriately identified for loss allowance.
- ECL calculations not adjusted appropriately to reflect current environment.
- Inappropriate amount is estimated and recorded for the ECL allowance for trade receivables.

#### Our response

- Reviewed management's ECL calculations;
- Assessed the reasonableness of key inputs and forecasts; and
- Reviewed the adequacy of financial statement disclosures regarding impairment of receivables.

#### Our findings

We did not identify any significant issues associated with the ECL.

# Audit focus areas

## 3 Property, plant and equipment (PPE) valuations

### Significant audit matter

#### Audit risks

- PPE not valued in line with IFRS 13 *Fair Value Measurement*.
- Inappropriate assumptions applied in the valuation process.

#### Our response

- Reviewed the latest external valuation reports and tested key assumptions;
- Agreed valuation reports to the general ledger;
- Reviewed post valuation useful life assessment and depreciation recalculation; and
- Assessed completeness of financial statement disclosure.

#### Our findings

PPE valuation is in line with IFRS 13 *Fair Value Measurement*. Key assumptions used are appropriate.

In prior periods, the Council presented a portion of land (Land – Drainage: \$1.9M) at cost. However, in 2020, all land parcels were revalued.

For 2021, this land is now correctly disclosed as at fair value.

We identified 7 of 19 samples tested of Work-in-progress transfers to Property, plant and equipment in 2021 that should have been transferred in 2020. Based on the long term nature of the assets the depreciation impact is not significant. We recommend management review the transfer process from WIP to PPE.

Sealed and unsealed road depreciation allocation within the draft financial statements was initially incorrect and has now been corrected.

We also note that Storm Water Drains although we acknowledge is a long life asset is not currently depreciated.

Other PPE financial statement disclosures noted are appropriate.

# Audit focus areas

## 4 Payroll and other employment benefits

### Significant audit matter

#### Audit risks

- Recorded employee benefits are not complete, accurate or exist.
- Inappropriate assumptions applied in the calculation of employee provisions.

#### Our response

- Tested the operating effectiveness of key controls in place over employee commencements, terminations and payroll management.
- Performed substantive test of detail procedures for payroll expenses, annual leave and long service leave provision.

#### Our findings

During our testing of the Long Service Leave Provision (LSL), we noted that the probability factors used in calculating the LSL of employees with less than 7 years of service were also “100%”.

The Council updated and used the probability factors suggested by the NTG – Department of Treasury and Finance. This resulted in a decrease in the LSL provision of \$73K.

## 5 Management override of controls

### Significant audit matter

#### Audit risks

- Management’s unique position and ability to commit fraud by manipulating accounting records or overriding controls that otherwise appear to be operating effectively.

#### Our response

- Identified and tested relevant controls over journal entries and post-closing adjustments.
- Evaluated the appropriateness of the accounting for significant transactions that are outside the component's normal course of business, or are otherwise unusual.

#### Our findings

It was noted during our interim testing that manual journals are not reviewed prior to posting in the accounting system.

Management indicated that the Council is currently undertaking an ERP review and will investigate electronic journal approval as part of any upgrade/transition of ERP systems.

Further, the Council will also consider if current/enhanced GL balance reconciliations will eliminate the need for individual journal approval moving forward.

# Other Audit Findings

## Other matters noted during the audit

In the process of completing our audit and in addition to the items reported relating to our audit focus areas and interim audit the following items were noted for management consideration:

### Matters noted

#### **Corrected audit misstatements**

During our testing Trade and Other Payables, we noted that there were 2 transactions that are incorrectly classified as liability at year-end.

#### Recycled Goods Scheme (\$81K)

There is no contractual liability related to these funds. Hence, cash receipts from this funding should be recognised as income when received.

#### Planning Subdivision Fee (\$112K)

The fee received was incorrectly identified as a Bond Fee, a refundable fee paid by the developer. However, upon review of supporting documents for this transaction, it was noted that this was an administration fee (non-refundable fee) charged by the Council which should be recognised as income in the current year.

#### **Employee Cost Capitalisation**

During Council management's review of the draft financial statements, it was noted that employee costs for 5 staff members should have been capitalised for the current year. These employees have predominantly worked only on Council projects. These employee expenses totalling \$192K have now been capitalised.

### Recommendation

- We recommend Council ensure appropriate accounting treatment of transactions when posting in the accounting system.
- We recommend management review the robustness of the process surrounding cost capitalisation to avoid late adjustments to the year-end financial statements.

# Other Audit Findings

## Other matters noted during the audit (continued)

### Matters noted

#### **Availability of audit requests**

An audit requirements listing was issued and dates agreed with management as to the timing of receipt of information on 23 August 2021. At commencement of the audit, audit requests were not available as agreed.

The audit team received multiple versions of the trial balance. Further mapping changes of the trial balance to financial statements occurred during the audit.

### Recommendation

- Now the current finance team have gone through a year end cycle, we recommend management review the planning and resourcing to ensure information is available as agreed.

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# Corporate Governance

## Risk Insights

Even more than ever, a sharper lens on risks to achieving business objectives is critical. Risks are heightened when either the external or internal environment changes. Much has been reported on COVID-19 and what is abundantly clear, is that this has forced change to the business environment for nearly every business. Some of this change is temporary, however the question remains how much of this change will be permanent and require businesses to change their strategies or operations permanently. Businesses that identify and appropriately respond quicker to these changes will enhance the ability to emerge stronger more quickly in, and through, the recovery.

In many circumstances the risks actually create upside to your business if you appropriately assess and design prudent responses. We provide below our insights on key risks that are either byproducts of COVID-19 or other key drivers, that are worth ensuring your business considers as part of your existing risk management frameworks.



**1. ESG:** The way businesses approach Environmental, Social & Governance (ESG) is a significant element to maintaining its social licence to operate. It is incumbent on all businesses to determine its level of commitment to doing more than just achieve financial sustainability. Failure to develop and implement an appropriate ESG response for the business should be a key consideration for all business risk registers.

**2. Workforce of the future:** The way we worked during COVID-19 has staff and management asking why can't we continue to work that way. Time will see contemporary trends emerge in this regard, however the much bigger strategic issue requiring business to think about is the pace of digital and other disruption developments, impacting customer interaction points and goods/services you deliver, that should see you asking... 'what workforce skills your workplace of the future require?'.

Customer interface points and nature of goods/services are changing, all potentially requiring different staff skills to deliver. What is clear is that the skills required today, will be different (and sometimes significantly different) to what is required in the future. Predicting these skills requires deep analysis and a robust long term strategy to respond.

**3. Geopolitical risk:** Closed borders and other political tensions need careful consideration to ensure you navigate your business through the possible future impacts. End to end supply chain challenges are a key consideration from inputs to your business to the markets you may sell into. How exposed are you and have you got alternative plans in place should the geopolitical risks crystallise?

**4. Conduct and reputation:** The spotlight continues to shine brightly on business conduct, whether that be through Australian royal commissions or media focus on non-compliance, whether that be wage theft or modern slavery breaches. Brand and reputation damage and major fines are key reasons why this should be a key consideration for businesses and accordingly it is timely for business to revisit whether their compliance frameworks are sufficient to keep pace with the emerging developments arising around compliance.

**5. Cyber risk:** No list on risks would be complete without mentioning cyber risk. This is by far the most significant risk of concern to those charged with governance we talk to. Digitisation isn't going away and to remain cost competitive, have better data to inform decisions, and meet shareholder and customer expectations all businesses need to get on board. But with this comes the risk of protecting your data and sadly attempts to compromise the security of data is not declining. Due to the everchanging nature of cyber threats, the inherent risk of cyber risk will always be high, but businesses need to ensure the residual risk is aligned with your risk appetite and the expectations of regulators and other stakeholders.

**6. Risk appetite:** With these changes in the environment, it is a timely reminder on the importance of regularly revisiting your stated risk appetite and key tolerance measures, to ensure your business continues to remain within the parameters those charged with governance set.



# Keeping your governance up to speed with change

Business change, whether through a pivot, scale growth or diversification, can be externally forced (regulatory, market, technology) or internally driven. Good governance at any point in time is one that is fit-for-purpose for the current state. An over governed business can constrain growth and an under governed business can lead to unacceptable risk exposure, so keeping governance on pace with the business' current state is critical.

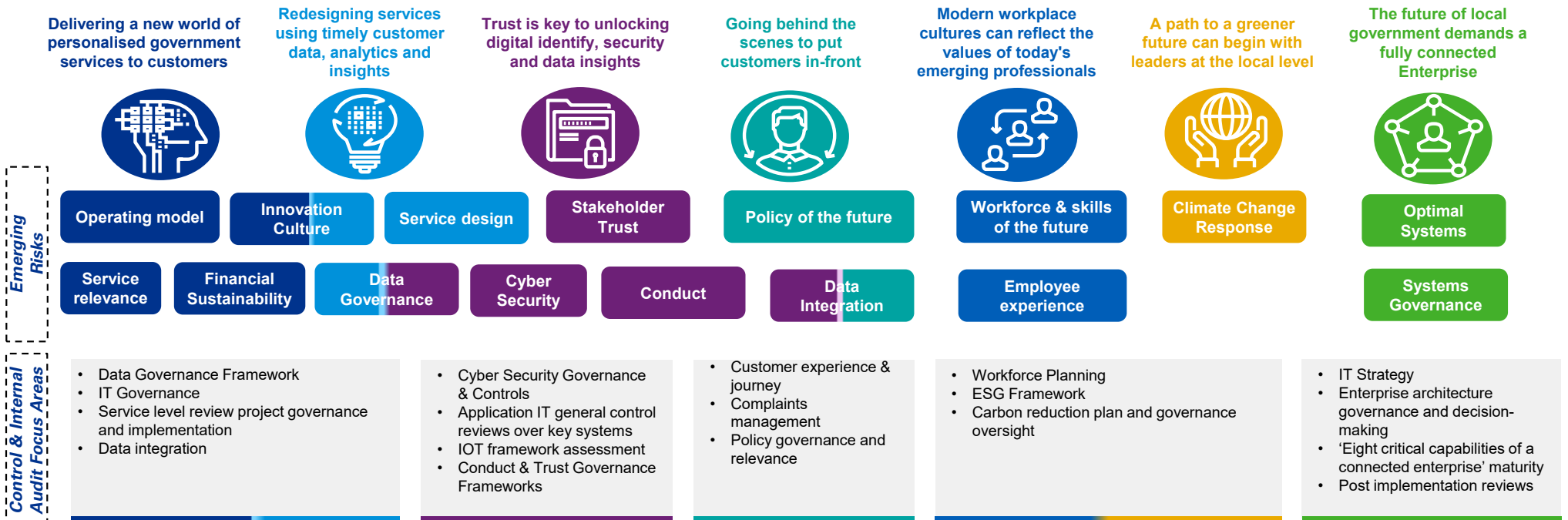
A common challenge we see is that businesses fail to evolve and mature their supporting governance frameworks on a timely basis to enable them to do the job they are designed for. From 'start up' to 'exceeding' stages of business maturity there are key areas that need consideration to ensure they remain relevant, robust and operationally appropriate.

We share our insights on some of those areas of governance that require consideration as your business changes.



# Future of Local Government: Control, Internal Audit & Risk Considerations

KPMG's Local Government practice has been supporting Councils become digitally enabled, data-driven, agile and customer centric. KPMG's 'Future of Local Government' Paper recently released, highlighted seven key themes. We have set out below the control, internal audit and risk considerations relevant to these themes for your Council's reflection.



## The Future of Local Government

Embracing data connectivity and customer centricity.



## Contact us

For further information and more detailed discussion please contact us via email or mobile.



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# Common Local Government Risk Themes

KPMG's Local Government practice has been supporting Councils mature its risk management practices. Set out below are some of the common risk themes emerging for local government.

## Strategic Risks

**Strategic Risks:** risks more aligned to events and matters that are, or need, a longer term focus. These may be things that need to be started now to be ahead of the risk that may crystallise down the track. These risks also tend to have an element that involve external forces that are often out of Council's control.

### The risk that Council fails to...

- plan in order to ensure infrastructure meets the future needs of Council and changes in service expectations.
- Provide long term potable water security across the region.
- Achieve long term financial sustainability.
- Predict and respond on a timely basis to future workforce needs.
- Ensure operating model and structure remains fit-for-purpose in design and implementation to meet service delivery standards
- Appropriately protect the Council from unauthorised external cyber threats.
- Appropriately prepare for, and respond to, major events impacting the continuity of Council business and services.
- Effectively plan and efficiently deliver service levels for the long-term sustainability and prosperity of the community
- Contribute towards the climate change emergency
- Optimise and align Council priorities with other external regional investment
- Failure to prevent and respond to environmental event.

## Operational Risks

**Operational Risks:** These are risks more aligned to events and matters, that are, or need, a daily business as usual focus on. These risks also tend to focus on internal elements that are often fully within Council's control.

### The risk that Council fails to...

- Provide safe drinking water to the region
- Appropriately maintain assets and infrastructure to enable service delivery continuity and public safety.
- Provide an appropriately safe workplace for staff and appropriately respond to any workplace injury event.
- Prevent, detect and appropriately respond on a timely basis to matters impacting public safety in Council managed spaces and during Council service delivery.
- Appropriately develop and integrate broader Corporate Planning and associated Plans.
- Prevent, identify and respond to material non-compliance with regulatory requirements
- Capture the right data, at the right time, to inform Council decision making.
- Ensure the right people, in the right place, with the right skills at the right time to maintain service delivery in alignment with the desired culture.
- Fraud & Misconduct: Failure to prevent, detect and respond to fraud on a timely basis. Key areas where Council is exposed to fraud and misconduct risk include:
- Deliver projects, on time, on budget at the right quality to meet the functional requirement of Council.
- Manage political stakeholder expectations

- I. Kickbacks – major capital projects, development approvals, procurement
- II. Conflict of Interest
- III. Procurement – corporate card, probity over tenders.
- IV. Payroll – ghost employees, allowances, overpayments, TOIL
- V. Decision bias – project approvals, Council decisions, HR appointments, procurement
- VI. Misappropriation of assets – attractive items eg fuel/copper
- VII. Gifts and benefits
- VIII. Misappropriation of cash takings
- IX. Misappropriation of confidential information (internal or external cyber threat risk).

# Required communications with the Risk Management and Audit Committee

Type	Response
<b>Related parties</b>	● There were no significant matters that arose during the audit in connection with the entity's related parties.
<b>Other matters warranting attention by those charged with governance</b>	● There were no matters to report arising from the audit that, in our professional judgement, are significant to the oversight of the financial reporting process.
<b>Control deficiencies</b>	● We communicated to management in writing all deficiencies in internal control over financial reporting of a lesser magnitude during the interim audit. No other control deficiencies were identified at year-end.
<b>Modifications to auditor's report</b>	● None
<b>Emphasis of matter/Other matter</b>	● None
<b>Actual or suspected fraud, non-compliance with laws or regulations or illegal acts</b>	● No actual or suspected fraud involving management, employees with significant roles in internal control, or where fraud results in a material misstatement in the financial statements was identified during the audit.

Type	Response
<b>Significant difficulties</b>	● No significant difficulties were encountered during the audit.
<b>Disagreements with management or scope limitations</b>	● The engagement team had no disagreements with management and no scope limitations were imposed by management during the audit.
<b>Other information</b>	● No material inconsistencies and material misstatements were identified related to other information in the annual report.
<b>Breaches of independence</b>	● No matters to report. The engagement team and the firm have complied with relevant ethical requirements regarding independence.
<b>Accounting practices</b>	● Over the course of our audit, we have evaluated the appropriateness of Council's accounting policies, accounting estimates and financial statement disclosures. In general, we believe that these are appropriate.

- No specific matters to report
- Specific matters to report

# Independence

We have strict rules and protocols to maintain our independence from Litchfield Council, including annual training, an annual staff declaration and a pre-approval process for non audit services.

## Safeguard

Non-audit services do not involve partners or staff acting in a managerial or decision making capacity, or involve the processing or originating of transactions.

Non-audit services are only provided where we are satisfied that they do not impact on our auditor independence.

## Breaches

The APESB Code of Ethics for Professional Accountants (including Independence Standards) (“the Code”) requires us to communicate to you any breaches of the independence requirements of the Code.

On the rare instance of a significant breach of the Code, we will report our conclusions to you on the actions to be taken, or already taken within three working days. We will report less significant breaches in the Year-end Audit Report to the Risk Management and Audit Committee.

No such breaches have been identified.

We confirm that, as at the date of this report, we have not identified any threats to our independence or objectivity.

There were no non-audit services (NAS) performed during the engagement period. In our professional judgement, there are no other matters that bear on our independence that need to be disclosed.

# Important notice

This report is presented under the terms of our audit engagement letter.

- Circulation of this report is restricted.
- The content of this report is based solely on the procedures necessary for our audit.

This report is provided solely for the benefit of the parties identified in the engagement letter dated 23 April 2021 and is not to be copied, quoted or referred to in whole or in part without KPMG's prior written consent. KPMG accepts no responsibility to anyone other than the parties identified in the engagement letter for the information contained in this report.

Our audit has been conducted in accordance with Australian Auditing Standards to provide a reasonable level of assurance as to whether, in all material respects, the financial statements are presented fairly, in accordance with the *Australian Accounting Standards* and the *Northern Territory Local Government Act 2008*, a true and fair view which is consistent with our understanding of Litchfield Council's financial position and of their performance.

An audit is not designed to identify all matters that may be relevant to the Risk Management and Audit Committee and Council members. Accordingly this report includes only those significant matters that have come to our attention as a result of performing our audit. This does not mean there are no other matters which you should be aware in meeting your responsibilities, nor does this report absolve you from taking appropriate action to meet these responsibilities.

In this report we comment in some detail on certain individual assets and liabilities contained in the financial statements. Our statutory audit is performed in order to enable us to issue an opinion on the financial statements of Litchfield Council. Accordingly, such detailed comments on individual amounts should not be construed as an expression of an opinion on the carrying values of those individual line items. In conclusion, subject to the Chief Executive Officer signing an unqualified Chief Executive Officer Statement, the resolution of the matters noted in this report and the completion of our subsequent events review, we advise that it is our present intention to issue an unqualified independent audit report on the financial report.



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The information contained herein is of a general nature and is not intended to address the circumstances of any particular individual or entity. Although we endeavour to provide accurate and timely information, there can be no guarantee that such information is accurate as of the date it is received or that it will continue to be accurate in the future. No one should act on such information without appropriate professional advice after a thorough examination of the particular situation.

MATTER	STATUS	MANAGEMENT RESPONSE
<p><u>REVENUE RECOGNITION</u> Recycled Good Scheme – unspent funds recognised as a liability in previous years</p>	Corrected & Mitigated	Council has previously recognised income from Cash for Cans as a liability to ensure it is segregated for the purpose of the community benefits scheme. However, because there is no contractual liability to spend the money in this manner, it does not fit the accounting standards criteria to be recognised as a liability. It has now been recognised as income in full and records of the amount have been kept to ensure the funds are spent on the Community Grant Scheme. A delegated reserve will be recommended to council and any unspent funds at the end of the 2021/22 Financial Year will be allocated to the reserve accordingly.
<p><u>REVENUE RECOGNITION</u> Planning Subdivision Fee – recognised a liability (Bond Fee) instead of income</p>	Corrected & Mitigated	The request to invoice for this fee was included with a Bond Fee request causing the oversight. Moving forward, all requests to invoice will include separate lines for separate types if charges to ensure this oversight is not repeated.
<p><u>PPE VALUATIONS</u> Land – Drainage presented at cost</p>	Corrected & Mitigated	When an asset is recorded at its purchase price, it is recorded in the financial statements ‘at cost.’ When is has been revalued, it is recognised in the financial statements ‘at Fair Value.’ This land had been revalued in 2019/20 but continued to be presented ‘at cost.’ It is unclear how this oversight occurred in the prior period however it has been corrected and any future revaluations will prompt a review of the recognition classification.
<p><u>PPE VALUATIONS</u> Work in progress – 7 assets capitalised in 2020/21 that was complete in 2019/20</p>	Corrected Mitigation Due – May 22	Council has undertaken an asset review project to review the process of tracking and accounting for assets ensuring assets are capitalised correctly on completion moving forward.
<p><u>PPE VALUATIONS</u> Sealed and Unsealed Road depreciation incorrectly allocated</p>	Corrected Mitigation Due – May 22	This error occurred due to the asset being set up incorrectly in the system on initial recognition. Ensuring assets are set up correctly will form part of the asset review project which is underway



<b>MATTER</b>	<b>STATUS</b>	<b>MANAGEMENT RESPONSE</b>
<u>PPE VALUATIONS</u> Storm Water Drains not depreciated	Uncorrected  Mitigation Due – May 22	This matter was not noted as a misstatement due to long life of the asset however management is considering the appropriateness of this accounting treatment.
<u>PAYROLL &amp; EMPLOYEE BENEFITS</u> Late capitalisation of employee costs	Corrected  Mitigation Due – May22	Initially it was assumed that support for capitalisation was not sufficient to allow for capitalisation, however, this assumption was reversed after further discussion. A process is now in place to ensure employee costs related to capital are recorded. This process will be further improved during the asset review project
<u>PAYROLL &amp; EMPLOYEE BENEFITS</u> Initially accrued for 100% of Long Service Leave	Corrected & Mitigated	Previously Council has accrued for 100% of long service leave however, this does not accurately reflect the probability that employees will meet the criteria that triggers the actual payout. Council now applies a probability factor to its long service leave accrual in line with that used by the Northern Territory Governments Department of Treasury and Finance.
<u>MANAGEMENT OVERRIDE OF CONTROLS</u> Manual journals posted prior to review	Uncorrected  Mitigation Due – Inline with ERP Review	This matter is seen by management as minimal risk. There is currently no electronic method of approving a journal before posting. Journals are reviewed after they are posted. If there are any errors, correcting journals are processed. However, in the interest of best practice, Council will consider an automated workflow for approval during the ERP review process.



## RMAC REPORT

<b>Agenda Item Number:</b>	8.2
<b>Report Title:</b>	Internal Audit Plan
<b>Author:</b>	Rebecca Taylor, Policy and Governance Program Leader
<b>Recommending Officer:</b>	Arun Dias, General Manager Business Excellence
<b>Meeting Date:</b>	23/02/2022
<b>Attachments:</b>	A: Internal Audit Plan

### Executive Summary

The purpose of this report is to provide an update to RMAC on the progress of the internal audits.

### Recommendation

THAT RMAC

1. Note the progress on the internal audits; and
2. Support the proposed changes to the internal audit of Council's Reserve Management Arrangements

### Background

In accordance with the internal audit plan, at Attachment A, there are two audits to be conducted during the 2021/22 financial period. Below is an update on each audit.

#### Council's Road Inspection Regime

The audit for Council's road inspection regime will be conducted internally by the Works Program Leader, who has extensive experience in auditing and was not involved in the development of the current inspection program. The scope is due to be finalised by the end of February, with the audit to be conducted in late March.

#### Council's Reserve Management Arrangements

In 2020/21 lease agreements were signed with four of Council's eight Recreation Reserves. Freds Pass Sport and Recreation Reserve has an existing lease in place. Humpty Doo Village Green Management Committee declined to sign a lease with Council and resolved to dissolve and return management of the Reserve to Council.

In 2021/22, an annual funding agreement was signed with each of the four reserve management committees with the intention that the level of base funding be reviewed during 2021/22 which would then result in multi-year funding agreements being developed.

During 2021/22 an internal review of the adequacy of funding to each of the funded reserve committees has been undertaken with preliminary findings feeding into the 2022/23 budget process, together with a recommendation that funding agreements again be for a 12-month period.

The known risks to Council of the independently managed reserves are:

- Failure to maintain Council assets to acceptable safety standards;
- Failure to ensure compliance with reporting requirements;
- Failure to have clear systems in place regarding seeking and gaining of approval for grant funds for the construction of infrastructure;
- Inability to generate sufficient own source revenue to supplement annual operational and repairs and maintenance funding from Council;
- Insufficient resources within Council to implement actions to mitigate these risks; and
- Insufficient resources to implement Councils own Sport, Recreation and Open Space Strategy.

At this stage, discussions for the 2022/23 budget are likely to provide an additional resource to put in place systems and monitoring to reduce the above risks to Council to adequate.

Given the internal work done during the 2021/22 period, it is requested that the internal audit be moved to quarter three in the 2022/2023 financial year.

#### **Links with Strategic Plan**

A Well-Run Council - Good Governance

#### **Legislative and Policy Implications**

This item is consistent with FIN08 Risk Management and FIN09 Risk Management and Audit Committee.

## Risks



Nil identified.

## Financial Implications

Budget allowances are made for internal audits.

## Community Engagement

Not applicable.

**ATTACHMENT A**

<b>Internal Audit</b>	<b>Financial Year</b>	<b>Description</b>	<b>Risk Profile</b>	<b>Risk Rating</b>	<b>Control Rating</b>
Procurement	17/18	Litchfield Council has engaged Local Buy Pty Ltd to assess Council’s procurement practices and recommend ways in which to improve it, in line with local government best practice and ensure compliance with relevant Northern Territory government legislation	RP14 - Inadequate Procurement / Supplier / Contract Management	High	Inadequate
Works Permits	17/18	The objective of this Internal Audit was to review the processes by which work permits are submitted, assessed and approved in order to identify opportunities for improvement. Additionally, the engagement sought to understand the processes that took place in relation to the development approval at 110 FPR and the resulting community dissatisfaction.	RP4 - Errors, Omissions, Delays and Incorrect Advice	Moderate	Adequate
Waste Transfer Stations WHS	17/18	Audit of Councils Waste Transfer Stations WHS capability	RP8 - Inadequate Safety and Security Practices	High	Inadequate
Audit of Council’s processes related to traffic management of Council commissioned works	18/19	In response to the recent findings handed down by the NT Coroner regarding the liability of Councils in relation to traffic management, management propose to conduct an audit of Councils processes related to traffic management at Council commissioned works. Recommendations from this audit will contribute to improving controls in the “Inadequate Safety and Security Practices” risk profile which has an overall risk rating of high and overall control rating of inadequate.	RP4 - Errors, Omissions, Delays and Incorrect Advice	Moderate	Adequate
Audit of Council’s payroll processes	18/19	Internal audit of Councils payroll processes to ensure accuracy and consistency. This audit will examine the processes currently in use to process Councils payroll including consistency between contract conditions and payroll setup. It will ensure that the “Ineffective and Unsustainable Financial Management” risk profile controls are maintained at an adequate level commensurate with the overall moderate risk rating and contributes to addressing the External Auditors findings regarding payroll certification	RP16 - Ineffective HR Management / Employment Practices	Moderate	Adequate

Internal Audit	Financial Year	Description	Risk Profile	Risk Rating	Control Rating
Audit of Contract Management Practices	18/19	As part of the current probity advise received on tendering and contract processes an opportunity was raised for an audit on current processes for contracts management and acceptance of variations to tendered contracts.	RP14 - Inadequate Procurement / Supplier / Contract Management	High	Inadequate
Audit of Mobile Work Force work health and safety procedures and practices	19/20	This audit will focus on the operational practices of the MWF both at the Humpty Doo workshop and in the field. Recommendations from this audit will contribute to improving controls in the "Inadequate Safety and Security Practices" risk profile which has an overall risk rating of high and overall control rating of inadequate	RP8 - Inadequate Safety and Security Practices	High	Inadequate
Review of Council WHS systems and framework	19/20	The purpose of this project is to review and update Council's Work Health and Safety (WHS) management system to ensure it meets legislative and operational requirements, and controlling an identified risk of inadequate health, safety and security practices.	RP8 - Inadequate Safety and Security Practices	High	Inadequate
Information Security	19/20	The ICT Improvement Plan has been developed in 2017 and implementation will be undertaken over the coming years. IT Security regarding data, cyper attacks and disaster recovery are a great risk to Council if not managed appropriately. The audit should identify if the implemented measures of the ICT Improvement Plan are mitigating the risk to Council's satisfaction.	RP6 - ICT Systems and Infrastructure Failure	Moderate	Adequate
Audit of compliance with Tree Risk Management Plan	20/21	Council has resolved to develop a Tree Risk Management Plan identifying the level, intervals and documentation of tree risk assessment for Council's open space. Development will take place in the 2018/19 financial year. The audit should identify if processes have been sufficiently established and are followed to mitigate risk to Council.	RP10 - Ineffective Management of Public Facilities / Venues / Events	Moderate	Inadequate

Internal Audit	Financial Year	Description	Risk Profile	Risk Rating	Control Rating
Records Management processes	20/21	This audit will look at the success of the implementation of the Records Management Improvement Plan. The findings of the audit will inform and provide confirmation of control ratings related to records management risks	RP11 - Inadequate Records Management Processes	Moderate	Adequate
Audit and review of Council's reserve management arrangements	21/22	Council has been managing Howard Park and Knuckeys reserves since 2015 with five other reserves managed by local associations. This review will examine the reserve management arrangements and make recommendations as to the risks to Council.	RP10 - Ineffective Management of Public Facilities / Venues / Events	Moderate	Inadequate
Audit of compliance with Roads Inspection Regime	21/22	Council has a regime of roads inspection determining intervals, level of inspection and documentation required. The audit will identify if the regime is adhered to and is appropriately mitigating risk for Council.	RP15 - Inadequate Asset Sustainability Practices	Moderate	Inadequate
Audit of the implementation of the 2019 work health and safety management framework	22/23	Litchfield Council initiated a Council wide WHS review in 2019 in order to address a Risk Control Action which identified the requirement to undertake a review on the existing health and safety management systems used by Council and to identify and implement new systems as required. This audit will assess the level of implementation and effectiveness of the WHS framework developed as result of the 2019 review	RP8 - Inadequate Safety and Security Practices	High	Inadequate
Audit of Councils Human Resource policies for legislative compliance	22/23	An updated Local Government Act will be enacted in July 2021. A component of this Act requires Councils to adopt a series of HR principles in the form of a policy. This Audit will conduct a desktop review of Councils HR polices to assess if the policies are fit for purpose and compliant with relevant legislation. The outcome of this audit will inform the risk rating for the risk profile RP16	RP16 - Ineffective HR Management / Employment Practices	Moderate	Adequate



## RMAC REPORT

<b>Agenda Item Number:</b>	8.03
<b>Report Title:</b>	Risk Register
<b>Author:</b>	Rebecca Taylor, Policy and Governance Program Leader
<b>Recommending Officer:</b>	Arun Dias, General Manager Business Excellence
<b>Meeting Date:</b>	23/02/2022
<b>Attachments:</b>	A: Risk Register

### Executive Summary

To update the RMAC on the risk profile, controls and action status as identified in the risk register.

### Recommendation

THAT RMAC

1. Note the updated risk register; and
2. Note the completed actions in the risk dashboard of the risk register, which will be removed from the action list and controls to be updated where required.

### Background

The risk register (as at attachment A) forms part of the Risk Management Governance Framework for Litchfield Council and consists of 16 risk profiles. The summary dashboard provides updates as to the progress in implementing actions.

Each profile has several controls and treatments that are rated either excellent, adequate, or inadequate. Each risk profile has an overall control rating which is determined by the number of controls and the number of inadequate controls.

Each risk profile also has a consequence and likelihood risk rating, which is then used in conjunction with the matrix below, to determine the overall risk rating for each profile.



Consequence \ Likelihood		Insignificant	Minor	Moderate	Major	Catastrophic
		1	2	3	4	5
Almost Certain	5	MODERATE (5)	HIGH (10)	HIGH (15)	EXTREME (20)	EXTREME (25)
Likely	4	LOW (4)	MODERATE (8)	HIGH (12)	HIGH (16)	EXTREME (20)
Possible	3	LOW (3)	MODERATE (6)	MODERATE (9)	HIGH (12)	HIGH (15)
Unlikely	2	LOW (2)	LOW (4)	MODERATE (6)	MODERATE (8)	HIGH (10)
Rare	1	LOW (1)	LOW (2)	LOW (3)	LOW (4)	MODERATE (5)

In accordance with the risk framework, below is Council’s approved risk appetite.

RISK RANK	LEVEL OF RISK	DESCRIPTION	CRITERIA FOR RISK ACCEPTANCE	RESPONSIBILITY
EXTREME	17 - 25	Urgent Attention Required	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
HIGH	10 - 16	Attention Required	Risk acceptable with excellent controls, managed by senior management / executive and subject to frequent monitoring	Director / CEO
MODERATE	5 - 9	Monitor	Risk acceptable with adequate controls, managed by specific procedures and subject to regular monitoring	Operational Manager
LOW	1 - 4	Acceptable	Risk acceptable with adequate controls, managed by routine procedures and subject to annual monitoring	Operational Manager

Since the risk register was last presented to RMAC in August, the following changes have been made;

Dashboard actions

Only 14 actions remain and of these actions, 5 have been completed as per below.

Action	Due Date	Final Comment
Review the CRM system	Oct-18	CRM report and training completed. Continuous improvement will be ongoing. Action is completed.
Mitigate legacy software platforms (Windows Server) (Item 5.1.4)	Feb-20	Completed
Develop Unified Communications (Voice/Video/Data) – Telecommunications plan. (Item 2.1.4)	Feb-20	Unified not feasible at this time, continuing with like-for-like. Action completed
ICT Security Audit 2020 - Actions	Dec-21	Action items for 2020/2021 FY are complete, of the 3 pending items, 2 are complete and 1 not required.

Action	Due Date	Final Comment
Develop Corporate Training Program	Oct-18	E-learning software launched, mandatory programs rolled out. External training captured in system. Action Completed.

### Controls

The following controls have been reviewed and updated:

Control	Control Rating	Risk Profile	Action
Contractor Inductions / Safety Requirements (Doc ID 527766)	Inadequate	RP8	Supporting documentation updated. Control to remain the same.
Inventory Hazardous Goods and MSDS (Doc ID 527594)	Adequate	RP8	Supporting documentation updated. Control to remain the same.
Staff Uniforms (protective) (Doc ID 527403)	Adequate	RP8	Supporting documentation updated. Control to remain the same.
Conflict Resolution Training - Frontline Staff (Doc ID 526934)	Inadequate	RP8	Supporting documentation updated. Control to remain the same.
Insurance Cover (Doc ID 526953)	Adequate	RP8	Supporting documentation updated. Control to remain the same.
Records Management Strategy	Inadequate	RP11	Strategy included as a control under RP11. To remain inadequate until strategy approved.
Strategic Relationship Map	Inadequate	RP14	Historical control with no background information. Control removed.
Asset Valuations	Adequate	RP15	SLT reviewed the control and agreed that control is inadequate. Control status changed to inadequate
Litchfield Council Enterprise agreement	Inadequate	RP16	Current EA adopted in 2020, control status changed to adequate.

As a result, from the changes outlined in the August report and changes outlined above, the table on the following page is an overview of the current controls.

Control Ratings August 2021		Control Ratings February 2022	
Row Labels	Count of Control Rating	Row Labels	Count of Control Rating
Excellent	29	Excellent	27
Adequate	158	Adequate	160
Inadequate	30	Inadequate	29
<b>Total</b>	<b>217</b>	<b>Total</b>	<b>216</b>

### Risk Profiles

Following the review of the all the controls RP15 - Inadequate Asset Sustainability Practices, as per August report, the Senior Leadership Team reviewed the overall risk rating and agreed:

- That the consequence be changed from Major to Moderate and that the likelihood be changed from Possible to Unlikely; and
- That the overall control rating remain at inadequate until further controls are updated to adequate.

This resulted in the overall risk changing from high to moderate.

Below is an overview of the risk profiles and their current overall risk status (includes the change above).

Risk Profile	Risk	Control
RP1 - Misconduct	Moderate	Adequate
RP2 - Business and Community Disruption	Moderate	Adequate
RP3 - Inadequate Environmental Management	Low	Adequate
RP4 - Errors, Omissions, Delays and Incorrect Advice	Moderate	Adequate
RP5 - External Theft and Fraud (inc. Cyber Crime)	Moderate	Adequate
RP6 - ICT Systems and Infrastructure Failure	Moderate	Adequate
RP7 - Failure to Fulfil Statutory, Regulatory or Compliance Requirements	Moderate	Adequate
RP8 - Inadequate Safety and Security Practices	High	Inadequate
RP9 - Ineffective and Unsustainable Financial Management	Moderate	Adequate
RP10 - Ineffective Management of Public Facilities / Venues / Events	Moderate	Inadequate
RP11 - Inadequate Records Management Processes	Moderate	Adequate
RP12 - Inadequate Project/Change Management	Moderate	Inadequate
RP13 - Inadequate Engagement Practices	Moderate	Adequate
RP14 - Inadequate Procurement / Supplier / Contract Management	High	Inadequate
RP15 - Inadequate Asset Sustainability Practices	Moderate	Inadequate
RP16 - Ineffective HR Management / Employment Practices	Moderate	Adequate

There are currently five risk profiles where the appetite is not yet achieved. Work will continue to address this issue.

### Links with Strategic Plan

A Well-Run Council - Good Governance

### Legislative and Policy Implications

This paper is consistent with FIN08 Risk Management and FIN09 Risk Management and Audit Committee. The risk framework meets Council’s risk management compliance requirements.

### Risks



Nil identified.

### Financial Implications

Nil.

### Community Engagement

Not applicable.

Litchfield Council Risk Dashboard Action Status Report

RP4 - Errors, Omissions, Delays and Incorrect Advice		Risk	Control	
		Moderate	Adequate	
Current Issues / Actions / Treatments	Due Date	Responsibility		Comments & Review History
Review the CRM system	Oct-18	General Manager Business Excellence		<p>8/11/2018 establishment of the SERVICE Committee for Customer Service Charter, Review of CRM process to follow</p> <p>September 2019 Terms of reference established for SERVICE Committee which has only met once to date</p> <p>February 2020 In progress</p> <p>September 2020 Customer service charter approved by Council, CRM workflow review to be completed in October 2020</p> <p>February First phase is completed. Data has been cleansed of historical outstanding items. A detailed crystal report template has now been created to provide a clear understanding of current CRM's. Further report to be provided to General Manager in March.</p> <p>July 2021 All CRM categories, checklists, tasks and workflows have been updated in conjunction with the relevant department. Training is underway - expected completion mid July. CRM report needs to be recreated in light of the changes - expected end of July.</p> <p>February 2022 CRM report and training completed. Continuous improvement will be ongoing. Action is completed.</p>
RP6 - ICT Systems and Infrastructure Failure		Risk	Control	
		Moderate	Adequate	
Current Issues / Actions / Treatments	Due Date	Responsibility		Comments & Review History
Implement Business Systems Review and develop Roadmap (Item 3.1.1)	Dec-19	Information Technology Program Leader		<p>September 2019 - New Action</p> <p>February 2020 Parallel with the recommendations around Azure proposal and strategic planning around ICT (i.e. reduced architecture and reliance on on-premise servers and asset management, Business System Review planning to take place in 2020. Documentation and information from external sources to be secured in March 2020, with Draft Documentation due in April 2020.</p> <p>Due May 2020</p> <p>September 2020 Azure proposal complete - In progress</p> <p>December Servers to remain on premise until Gap analysis report as a key deliverable from ERP systems review project to advice timing or feasibility of moving to Software as a Service (SAAS) platform.</p> <p>July 2021 ERP Review - GAP analysis is in it's final stages. Meeting arranged with Civica to discuss how to address current GAP in product delivery</p> <p>February 2022 Hardware ROI requires &gt; 2 years</p>
Develop high level ICT business continuity plan (BCP) and Disaster. (Item 5.2.1)	Dec-19	Information Technology Program Leader		<p>September 2019 - New Action</p> <p>February 2020 As per discussions with Governance and Risk Advisor – ICT BCP to be done in conjunction with overall BCP. BCP to drive the ICT Disaster Recovery documentation and recommendations. Due Date May 2020.</p> <p>Quote received from JLT to conduct 2 workshops and generate BCF for Council. Includes one session of scenario planning to test the framework. IT Business Continuity Plan commenced and will be incorporated into the whole of Council framework.</p> <p>September 2020 Workshop held with Leadership Team 21/8/20 - In progress</p> <p>December Overall BCP for Council completed. ICT continuity draft plan to be presented to ET in March 2021. Action/treatment wording amended to include ICT BCP, to separate the overall BCP and the ICT specific BCP.</p> <p>July 2021 Was awaiting Council to adopt overarching BCP which has now happened. Require external advice to complete. Will seek quote as a priority once IT role is filled.</p>
Mitigate legacy software platforms (Windows Server) (Item 5.1.4)	Feb-20	Information Technology Program Leader		<p>September 2019 - New Action</p> <p>February 2020 As per the Azure proposal from Fourier, recommendations for a re-architecture include the removal of legacy platforms from Servers. Due Date June 2020.</p> <p>September 2020 New servers arrive late August 2020 - In progress</p> <p>December Part 1 Host are complete Part 2 Virtual machines are in progress</p> <p>February 2021 Part 2 is in progress with funding secured. To be completed by June 2021.</p> <p>July 2021 Delayed by third party service providers. Expected completion by end of July</p> <p>February 2022 Completed</p>

### Litchfield Council Risk Dashboard Action Status Report

Develop Unified Communications (Voice/Video/Data) – Telecommunications plan. (Item 2.1.4)	Feb-20	Information Technology Program Leader	<p><u>September 2019</u> - New action</p> <p><u>February 2020</u> VOIP phone and backup internet t HSWTS, HDWTS. LCO moved to VOIP. Thorak and Taminmin Library to have adequate internet backup and VOIP phones solutions outlined. Investigations to cloud telephony solutions to be outlined. Documentation and Plan t be compiled in April 2020. Due Date May 2020.</p> <p><u>September 2020</u> Documentation and plan compiled - outcome to be decided.</p> <p><u>December</u> Cost vs benefits investigation conducted, nothing suitable found so far, to be presented to ELT in June 2021.</p> <p><u>July 2021</u> Revisiting option with the transition from Skype to Teams. Awaiting pricing an options from Fourier. Project scope will be analysed when IT role is filled.</p> <p><u>February 2022</u> Unified not feasible at this time, continuing with like-for-like</p>	
			<p><u>October 2020</u> New Action</p> <p><u>February 2021</u> 20 Actions on the ICT Security Audit have been identified to be completed this financial year 2020/2021. Of these actions, 5 have been completed, 1 is not required and 14 are to be completed prior to 30 June 21.</p> <p><u>July 2021</u> 3 Actions are still in progress with expected completion date by the end of August</p> <p><u>February 2022</u> Action items for 2020/2021 FY are complete, of the 3 pending items, 2 are complete and 1 not required.</p>	
<b>RP9 - Ineffective and Unsustainable Financial Management</b>		<b>Risk</b>	<b>Control</b>	
		<b>Moderate</b>	<b>Adequate</b>	
<b>Current Issues / Actions / Treatments</b>	<b>Due Date</b>	<b>Responsibility</b>		<b>Comments &amp; Review History</b>
Review Developer Contribution Plan	Jun-18	Project Management Program Leader		<p><u>7 August 2018</u> Consultants have prepared a draft Developer Contribution Plan. Planning and Development Manager is currently reviewing for preparation to Council in October.</p> <p><u>February 2019</u> The new Developer Contribution Plan continues to be developed. Updates have been provided to Council. The detail of the contribution plan is 80% complete following a review of asset data and requirement of works assessment. Legal advice is required to be obtained and instructions for advice are being prepared. This is a complex project that has legislative requirements in its content and delivery and therefore is being processed in a manner to minimise the risk to Council of the plan being insufficient. Current target – completion by July 2019</p> <p><u>November 2019</u> Council's revised Developer Contribution Plan is currently under development and nearing completion. However, recently proposed amendments to the NT Planning Act propose changes to how fees noted within a DCP can be collected. It is also understood that updated Regulations that will accompany the amendments to the Act will result in changes to which assets Council can collect money for within a DCP. The proposed changes are expected to be of benefit to Council, allowing Council greater ability to collect fees from development contributing to upgrades and to collect money for all infrastructure assets requiring upgrades.</p> <p>Any DCP or changes to a DCP is required to undergo a 28-day public consultation prior to adoption. As a result, it is considered prudent to continue to develop the DCP with the proposed changes in mind. Then the finalised plan can be publicly exhibited and adopted once the changes are made to the NT Planning Act and associated Regulations. At this time, it is understood that the intention is for the updated Planning Act to be adopted in mid 2020, with the Regulations to follow shortly after.</p> <p>Legal advice is to wait until new act is passed then proceed with adoption. Expect completion September 2020.</p> <p><u>February 2020</u> Updates to Planning Act are due to be enacted by June 2020. Once enacted updates will need to be made to plan. Expect completion by October 2020</p> <p><u>September 2020</u> Now that the NT Planning ACT and Planning regulations have been updated by NTG, can proceed to finalising updated plan under the new requirements, for legal review and then community consultation if approved by Council.</p> <p><u>December</u> Council are expecting the DRAFT DCP from Aurecon in December/January</p> <p><u>February 2021</u> DRAFT DCP received from Aurecon, to be reviewed. DRAFT to be finalised and provided to lawyers by March.</p> <p><u>July 2021</u> The proposed development of Kowandi and Holtze, has highlighted some anomalies in the current DRAFT DCP. A workshop was held with Councillor's and it has been decided that a new approach to the DCP is required. Further review over the next 12 months.</p> <p><u>February 2022</u> As per above - work continues</p>

### Litchfield Council Risk Dashboard Action Status Report

Asset management plans in progress	Jul-18	Manager Infrastructure & Assets	<p><u>7 August 2018</u> The Thorak Cemetery asset management plan is drafted and with the Director of Community and Corporate Services for review. Once this has been developed it will be used as a template for plans for other Council assets (Council offices, Waste Transfer Stations, MWF workshop etc.). This action will be replaced by individual actions for each asset management plan to be developed.</p> <p><u>3 October 2018</u> 1. Thorak Regional Cemetery – to be presented at Thorak Regional Cemetery Board meeting in September 2018 2. Roads – AMO is collecting background information now and will be drafted by November 2018 3. Plant &amp; Equipment – Not yet to start but will be prepared by December 2018 4. Driveways – Not yet to start but will be prepared by December 2018</p> <p><u>February 2019</u> Scheduled for all plans is in place and progressing 1. Thorak Regional Cemetery 2. Roads – Asset Management Plan (AMP) drafted – critical elements to be considered through budget consideration process prior to finalising 3. Plant &amp; Equipment – AMP drafted and replacement schedule being utilised to inform budget process 4. Driveways – AMP data collection, checking and updating underway Proposed target – the asset management plans are progressing to a schedule, with a target completion of December 2019 for all plans</p> <p><u>September 2019</u> Update on proposed targets to be presented to RMAC in Feb 2020</p> <p><u>February 2020</u> Report presented to March RMAC meeting</p> <p><u>September 2020</u> Asset management working group are meeting on 16/9/20. Will be reviewing membership and updating terms of reference for group. Working group will then review the prioritisation of the outstanding asset management plans.</p> <p><u>December</u> Asset management plan schedule confirmed by PACMan committee. 1. Thorak Cemetery - complete 2. Road assets - complete 3. Plant and Equipment - in draft due June 2021 4. Driveways - in draft due June 2021</p> <p><u>July</u> Asset management plan schedule amended by PACMan committee. Driveways will be included in the Road Assets and the name will be changed to Transport Asset to be all inclusive. 1. Thorak Cemetery - complete 2. Plant and Equipment - in draft due October 2021 4. Transport - June 2022</p>	
<a href="#">RP10 - Ineffective Management of Public Facilities / Venues / Events</a>		<b>Risk</b>	<b>Control</b>	
		<b>Moderate</b>	<b>Inadequate</b>	
<b>Current Issues / Actions / Treatments</b>	<b>Due Date</b>	<b>Responsibility</b>		<b>Comments &amp; Review History</b>
Formalise Public Places By-Law	Jun-19	General Manager Business Excellence	<p><u>7 August 2018</u> No progress to date on this item as meeting procedure by-laws are still in development. A needs assessment will be commissioned to ascertain the I it is still beneficial for Council to proceed with the development of these by-laws.</p> <p><u>November 2018</u> Seeking Consultant to guide workshop with elected members in May 2019</p> <p><u>February 2019</u> This action is on hold pending the establishment of meeting procedure by-laws.</p> <p><u>February 2020</u> New consultant approached to facilitate workshop which will review Council's intent and capacity in line with updated NTG planning regs may impact this action.</p> <p><u>September 2020</u> On Hold - only to be actioned once Meeting Procedure by-laws have been finalised</p> <p><u>December 2020</u> Work is currently being undertaken on the status for a report to February Council meeting (meeting by-laws) In progress - rescind the decision to have meeting by-laws</p> <p><u>July 2021</u> meeting by-laws decision rescinded, February 2021; Parliamentary counsel require instructions for public places by-laws to be from incoming Council. Expect to have report to Council for October.</p> <p><u>February 2022</u> Council approved instructions for public places by-laws. Instructions are now sitting with NTG.</p>	

### Litchfield Council Risk Dashboard Action Status Report

Develop Inspection/Maintenance program	Jun-18	Manager Infrastructure & Assets	<p><u>7 August 2018</u> Schedules have been completed and are with the relevant responsible officers for final review. Expect sign off by next RMAC meeting.</p> <p><u>2 Jan 2019</u> Development of maintenance schedule actions rolled up into one action for consistency and ease of reporting.</p> <p><u>February 2019</u> Inspection and maintenance plans are in place for Council's building assets, including safety and compliance requirements for reserves. Tree and playground inspection program under development.</p> <p>Proposed target - May 2019</p> <p><u>February 2020</u> <u>September 2020</u> Playground inspection/maintenance program in place Cemetery Reserves Supervisor now employed - expect Tree inspection program complete by Dec 2020</p> <p><u>December</u> Tree inspection program completed.</p> <p>Inspection/maintenance program required for buildings on reserves - assessing internal resourcing to determine whether building maintenance for reserves will remain with Community or be moved to Infrastructure. Program can then be developed.</p> <p>Drainage/footpaths - DRAFT inspection/maintenance schedule has been developed and implementation is due to start end of February.</p> <p><u>July</u> Outstanding inspection maintenance programs remain in DRAFT form, to be implemented over the next few months.</p>	
Formalise Procedures, Documentation and Checklists for Core Operations - Corp and Comm Serv	Sep-18	General Manager Business Excellence	<p><u>February 2019</u> In progress. Library procedures to be included. Expect finalisation August 2019</p> <p><u>September 2019</u> On hold due to Interim CEO duties of DCCS</p> <p><u>February 2020</u> Draft procedures for events developed and under review</p> <p><u>September 2020</u> documentation around community services procedures in draft, Core Corporate service procedures in development</p> <p><u>December</u> In progress</p>	
<a href="#">RP15 - Inadequate Asset Sustainability Practices</a>		<b>Risk</b>	<b>Control</b>	
		Moderate	Inadequate	
<b>Current Issues / Actions / Treatments</b>	<b>Due Date</b>	<b>Responsibility</b>		<b>Comments &amp; Review History</b>
Develop Asset Management Plan inc Asset costings to establish renewal program	Jul-18	Manager Infrastructure & Assets	<p><u>7 August 2018</u> The Thorak Cemetery asset management plan is drafted and with the Director of Community and Corporate Services for review. Once this has been developed it will be used as a template for plans for other Council assets (Council offices, Waste Transfer Stations, MWF workshop etc.). This action will be replaced by individual actions for each asset management plan to be developed</p> <p><u>February 2019</u> Refer to RP9:Asset management plans in progress. All asset management plans include renewal requirements.</p> <p><u>February 2020</u> In progress</p> <p><u>September 2020</u> Asset management working group are meeting on 16/9/20. Will be reviewing membership and updating terms of reference for group. Working group will then review the prioritisation of the outstanding asset management plans.</p> <p><u>December</u> Asset management plan schedule confirmed by PACMan committee.</p> <ol style="list-style-type: none"> <li>1. Thorak Cemetery - complete</li> <li>2. Road assts - complete</li> <li>3. Plant and Equipment - in draft due June 2021</li> <li>4. Driveways - in draft due June 2021</li> </ol> <p><u>July</u> Asset management plan schedule amended by PACMan committee. Driveways will be included in the Road Assets and the name will be changed to Transport Asset to be all inclusive.</p> <ol style="list-style-type: none"> <li>1. Thorak Cemetery - complete</li> <li>2. Plant and Equipment - in draft due October 2021</li> <li>4. Transport - June 2022</li> </ol>	



### Litchfield Council Risk Dashboard Action Status Report

Develop Inspection/Maintenance program	Oct-18	General Manager Infrastructure & Operations	<p><u>7 August 2018</u> A draft maintenance schedule covering the Mobile Workforce, Waste Transfer Stations and the Administration building has been submitted to the Director of Infrastructure and Operations for review and is on track for October 2018 completion.</p> <p><u>February 2019</u> Inspection and maintenance plans are in place for Council's building assets, including safety and compliance requirements. Programs relating to all other infrastructure assets will be incorporated into relevant Asset Management Plans. Proposed target – key requirement is complete relating to buildings, all others to be complete by December 2019</p> <p><u>February 2020</u> In progress</p> <p><u>September 2020</u> Playground inspection/maintenance program in place Cemetery Reserves Supervisor now employed - expect Tree inspection program complete by Dec 2020</p> <p><u>December</u> Tree inspection program completed. Inspection/maintenance program required for buildings on reserves - assessing internal resourcing to determine whether building maintenance for reserves will remain with Community or be moved to Infrastructure. Program can then be developed. Drainage/footpaths - DRAFT inspection/maintenance schedule has been developed and implementation is due to start end of February.</p> <p><u>July</u> Outstanding inspection maintenance programs remain in DRAFT form, to be implemented over the next few months.</p>	
RP16 - Ineffective HR Management / Employment Practices		<b>Risk</b>	<b>Control</b>	
		Moderate	Adequate	
<b>Current Issues / Actions / Treatments</b>	<b>Due Date</b>	<b>Responsibility</b>	<b>Comments &amp; Review History</b>	
Develop Corporate Training Program	Oct-18	Manager People & Performance	<p><u>February 2019</u> In progress</p> <p><u>February 2020</u> In progress</p> <p><u>September 2020</u> Corporate training program in development</p> <p><u>December</u> E-learning software close to completion.</p> <p><u>July</u> In the final stages - go live date has been set for August.</p> <p><u>February 2022</u> E-learning software launched, mandatory programs rolled out. External training captured in system. Action Completed.</p>	

**RP1 - Misconduct** **Jan-18**

**This Risk Theme is defined as:**  
 Intentional activities in excess of authority granted to an employee, which circumvent endorsed policies, procedures or delegated authority.

*This would include instances of:*

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

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

- Potential causes include:**
- Lack of Training
  - Changing of Job Titles / Roles
  - Delegated Authority Process Inadequately Implemented
  - Disgruntled Employees
  - Lack of Understanding
  - Poor Internal Checks (Supervision, PO's and Delegated Authority)
  - Password Sharing

Key Controls	Type	Owner	Date	Rating
Delegation Manual	Preventative	Manager People & Performance	14/09/2017	Adequate
Fraud Training	Preventative	Manager Corporate Services	14/09/2017	Adequate
Control of Devices Policy / Procedures	Preventative	Manager Corporate Services	14/09/2017	Inadequate
Electronic Document Management	Preventative	Manager People & Performance	14/09/2017	Adequate
On and Off Site Records Storage	Preventative	Manager People & Performance	14/09/2017	Adequate
Recruitment Process	Preventative	Manager People & Performance	14/09/2017	Adequate
Segregation of Duties (Financial)	Preventative	Manager Corporate Services	1/06/2018	Excellent
ICT Security Access Framework - Access and Approvals	Preventative	Manager Corporate Services	14/09/2017	Adequate
Internal / External Audits	Detective	Manager People & Performance	14/09/2017	Adequate
Induction Process (Code of Conduct)	Preventative	Manager People & Performance	14/09/2017	Adequate
Internet / Phone Usage Policy	Preventative	Manager Corporate Services	14/09/2017	Adequate
Fraud Protection Policies	Preventative	Manager Corporate Services	14/09/2017	Adequate
Credit Card Policy and Monthly Reporting	Detective	Manager Corporate Services	1/06/2018	Excellent
Disciplinary Procedures	Responsive	Manager People & Performance	14/09/2017	Adequate
Cash Handling Procedures	Preventative	Manager Corporate Services	14/09/2017	Adequate
Performance Review process	Detective	Manager People & Performance	30/11/2017	Adequate
Whistle Blower Policy	Preventative	Manager People & Performance	15/11/2017	Excellent
Ongoing Fraud and Misconduct Awareness Training/Information	Preventative	Manager Corporate Services	12/02/2018	Adequate
Purchasing Policy / Process (Purchase Order Process)	Preventative	Manager Corporate Services	14/09/2017	Adequate

**Overall Control Ratings:** Adequate

Risk Ratings		Rating
<b>Consequence:</b>		Moderate
<b>Likelihood:</b>		Unlikely
<b>Overall Risk Ratings:</b>		<b>Moderate</b>

Key Indicators	Tolerance	Date	Overall Result
<i>Number of actual / attempted fraud and misconduct incidents</i>			

**Comments**

As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to moderate financial, compliance and reputational impacts

Current Issues / Actions / Treatments	Due Date	Responsibility

**RP2 - Business and Community Disruption****Jan-18****This Risk Theme is defined as:**

Failure to adequately prepare and respond to events that cause disruption to the local community and/or normal Local Government business activities. The event may result in damage to buildings, property, plant and equipment, lack of availability of key staff and/or interruptions to supply chain.

*This does include;*

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

Note: This does not include IT and/or communications systems and infrastructure related failures - refer "Failure of IT and/or Communication Systems and Infrastructure".

**Potential causes includes:**

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

Key Controls	Type	Owner	Date	Rating
Business Continuity Framework (Policy & Procedures)	Preventative	Manager People & Performance	14/09/2017	Inadequate
Business Continuity Plan	Responsive	Manager People & Performance	23/02/2021	Adequate
Cyclone Plan	Responsive	Manager Infrastructure & Assets	14/09/2017	Adequate
Fire Management Plan	Preventative	Manager Operations & Environment	14/09/2017	Excellent
Council Property Inspections for Compliance (Informal) (Doc id 458315)	Detective	Manager Infrastructure & Assets	27/02/2020	Adequate
Pre cyclone clean up	Preventative	Manager Infrastructure & Assets	14/09/2017	Adequate
Risk management framework (Doc id447380)	Preventative	Manager People & Performance	3/03/2020	Adequate
Risk management and audit committee (Doc id 447381)	Preventative	Manager People & Performance	3/03/2020	Adequate
Emergency Management Procedures/Drills	Responsive	Manager Operations & Environment	14/09/2017	Adequate

**Overall Control Ratings:****Adequate****Risk Ratings****Rating****Consequence:** Moderate**Likelihood:** Unlikely**Overall Risk Ratings:****Moderate**

Key Indicators	Tolerance	Date	Overall Result
Vegetation slashing and mowing of 900kms of road network before July fire bans	2 rounds		
Fire breaks and road reserve slashing of 1000kms within Council excised land	>75%		
Lost time due to plant and equipment breakdown	<20hrs		

**Comments**

As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to moderate service interruption, reputation and environmental impacts. Noting the risk refers to Councils ability to adequately and appropriately fulfil its role and responsibilities to prepare and/or respond to a disruptive event, not the disruptive event itself.

Current Issues / Actions / Treatments	Due Date	Responsibility

## RP3 - Inadequate Environmental Management Jan-18

**This Risk Theme is defined as:**

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 control.
- Ineffective management of water sources (reclaimed, potable)
- Illegal dumping.
- Illegal clearing / land use.

**Potential causes include:**

- Inadequate Management of Landfill Sites
- Lack of Understanding / Knowledge
- Inadequate Local Laws / Planning Schemes
- Inadequate Reporting / Oversight Frameworks
- Community Apathy
- Heavy Vehicles on Reserves

Key Controls	Type	Owner	Date	Rating
WTS Environmental Management Plans (Doc id 447588)	Preventative	Manager Operations & Environment	21/11/2019	Adequate
Waste Management Strategy	Preventative	Manager Operations & Environment	1/06/2018	Excellent
Contamination Register - MWF	Detective	Manager Operations & Environment	21/12/2018	Inadequate
Contamination Register - Thorak (Doc id 428179)	Detective	Manager Operations & Environment	26/04/2019	Adequate
Asbestos Register (Doc ID 416357)	Detective	Manager Infrastructure & Assets	14/09/2017	Excellent
Weed Control Schedule	Preventative	Manager Operations & Environment	14/09/2017	Adequate
Support Local Environmental Groups	Preventative	Manager Operations & Environment	14/09/2017	Adequate
Environmental Management / Response Plans	Responsive	Manager Operations & Environment	14/09/2017	Inadequate
Erosion Control Road Side Drains	Preventative	Manager Infrastructure & Assets	14/09/2017	Adequate
Reporting of Listed Waste	Preventative	Manager Operations & Environment	14/09/2017	Adequate
Landfill Rehabilitation	Preventative	Manager Operations & Environment	14/09/2017	Adequate
Ranger (Dogs) Service (Doc ID 415880)	Preventative	Manager Operations & Environment	14/09/2017	Adequate

**Overall Control Ratings:** Adequate

Risk Ratings		Rating
<b>Consequence:</b>		Moderate
<b>Likelihood:</b>		Rare

**Overall Risk Ratings:** Low

Key Indicators	Tolerance	Date	Overall Result
Weed spraying roadside furniture and target Gamba grass and classified weeds	150000L		
Waste tonnage transferred to Shoal Bay	<10000t		
% of green waste received that is on-sold as mulch	>80%		
% of erosion repairs to road side drainage	?		

**Comments**

As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to environmental impacts

Current Issues / Actions / Treatments	Due Date	Responsibility

**RP4 - Errors, Omissions, Delays and Incorrect Advice** **Jan-18**

**This Risk Theme is defined as:**  
 Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process. This includes instances of;  
 • Human errors, incorrect or incomplete processing  
 • Inaccurate recording, maintenance, testing and / or reconciliation of data.  
 • Errors or inadequacies in model methodology, design, calculation or implementation of models.

- Potential causes include;**
- Human Error
  - Inadequate Procedures or Training
  - Lack of Staff (or trained staff)
  - Incorrect Information
  - Miscommunication

Key Controls	Type	Owner	Date	Rating
Documented Operational Procedures / Checklists (Doc ID 408679)	Preventative	Manager People & Performance	14/09/2017	Inadequate
Complaints and Requests Register (CRM)	Detective	Manager Corporate Services	14/09/2017	Inadequate
Senior Manager Oversight to Elected Members Information	Detective	Manager People & Performance	14/09/2017	Adequate
Utilise External Expertise / Consultants	Preventative	Manager People & Performance	14/09/2017	Adequate
Segregation of Duties (Financial Control)	Preventative	Manager Corporate Services	14/09/2017	Adequate
Performance Review Process	Detective	Manager People & Performance	14/09/2017	Adequate
Media and Communications Resource	Preventative	Manager Communications & Community	14/09/2017	Adequate
Development and Subdivision Standards (Doc id 419760)	Preventative	Manager Infrastructure & Assets	9/01/2019	Adequate
Staff Meetings (Briefings / Debriefings)	Preventative	Manager People & Performance	14/09/2017	Adequate

**Overall Control Ratings:** Adequate

Risk Ratings		Rating
<b>Consequence:</b>		Moderate
<b>Likelihood:</b>		Possible

**Overall Risk Ratings:** Moderate

Key Indicators	Tolerance	Date	Overall Result
Issue work permits associated with a Development Permit with in 5 days	90%		
Issue clearances for development	<10days		
Investigations completed within 14 days	>90%		

**Comments**  
 As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to moderate reputational and financial impacts. Noting that this level of risk may be realised through incorrect approvals.

Current Issues / Actions / Treatments	Due Date	Responsibility
Formalise Procedures, Documentation and Checklists for Core Operations - Works	Apr-18	Manager Infrastructure & Assets
Review the CRM system	Oct-18	General Manager Business Excellence

**RP5 - External Theft and Fraud (inc. Cyber Crime) Jan-18**

**This Risk Theme is defined as:**  
 Loss of funds, assets, data or unauthorised access, (whether attempts or successful) by external parties, through any means (including electronic), for the purposes of;  
 • Fraud – benefit or gain by deceit  
 • Malicious Damage – hacking, deleting, breaking or reducing the integrity or performance of systems  
 • Theft – stealing of data, assets or information (no deceit)

**Potential causes include:**  
 • Inadequate Security of Equipment / Supplies / Cash      • Lack of Supervision / Unauthorised Entry  
 • Robbery  
 • Scam Invoices

Key Controls	Type	Owner	Date	Rating
Visitor Sign In	Detective	Manager Corporate Services	14/09/2017	Adequate
Keyed Access Controls - Admin Building	Preventative	Manager Infrastructure & Assets	14/09/2017	Adequate
Monitored Alarm - Admin Building	Detective	Manager Infrastructure & Assets	14/09/2017	Adequate
Cash Handling procedures	Preventative	Manager Corporate Services	14/09/2017	Adequate
Staff Inductions	Preventative	Manager People & Performance	14/09/2017	Adequate
Restricted and Registered Keys	Preventative	Manager Corporate Services	14/09/2017	Adequate
After Hours Security	Detective	Manager Infrastructure & Assets	14/09/2017	Adequate
System Checks for New Creditors	Preventative	Manager Corporate Services	14/09/2017	Adequate
Access Control for Online Banking (Dual Signatory)	Preventative	Manager Corporate Services	14/09/2017	Adequate
Delegation Manual	Preventative	Manager People & Performance	14/09/2017	Adequate
Disposal of assets process/forms	Detective	Manager Corporate Services	30/11/2017	Adequate
Credit Card policy	Preventative	Manager Corporate Services	1/06/2018	Excellent
Investment policy	Preventative	Manager Corporate Services	1/06/2018	Excellent
Audit reports (Monthly report, Weekly AP report)	Preventative	Manager Corporate Services	1/06/2018	Excellent
Seperation of Duties	Preventative	Manager People & Performance	1/06/2018	Excellent
Invoice aproval process	Preventative	Manager Corporate Services	30/11/2017	Adequate
Manned Access Control at Off-site Locations (Except BSWTS)	Preventative	Manager Operations & Environment	14/09/2017	Adequate
Asset Management System - Asset Register (Doc id 458336)	Detective	Manager Corporate Services	27/02/2020	Adequate
CCTV	Detective	Manager Infrastructure & Assets	14/09/2017	Adequate
IT Firewall Systems	Preventative	Manager Corporate Services	14/09/2017	Adequate

**Overall Control Ratings:** Adequate

Risk Ratings	Rating
<b>Consequence:</b>	Moderate
<b>Likelihood:</b>	Unlikely

**Overall Risk Ratings:** Moderate

Key Indicators	Tolerance	Date	Overall Result
<i>Number of actual / attempted theft and fraud incidents</i>			

**Comments**  
 As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to moderate financial impacts

Current Issues / Actions / Treatments	Due Date	Responsibility

**RP6 - ICT Systems and Infrastructure Failure** **Jan-18**

**This Risk Theme is defined as:**  
 Instability, degradation of performance, or other failure of ICT Systems and 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.

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

- Potential causes include:**
- Weather impacts
  - Vendor Failures
  - Outdated / inefficient hardware
  - Sabotage
  - Power failure
  - Infrastructure Breakdown
  - Lack of Training
  - Lack of Configuration Management

Key Controls	Type	Owner	Date	Rating
Data Back Up Systems (manual process) (DOC ID. 438060)	Responsive	Manager Corporate Services	24/01/2020	Excellent
Performance Monitoring (DOC ID. 438119)	Detective	Manager Corporate Services	20/08/2019	Adequate
UPS / Generator (DOC ID. 438122)	Responsive	Manager Corporate Services	20/08/2019	Excellent
Disaster Recovery Plan (Doc ID. 438090)	Responsive	Manager Corporate Services	14/11/2019	Adequate
ICT Infrastructure Replacement / Refresh Program (DOC ID. 438116)	Preventative	Manager Corporate Services	14/11/2019	Adequate
ICT Governance/Policy Framework (Doc ID. 394988 & 438114)	Preventative	Manager Corporate Services	28/08/2019	Adequate
Internal Service Level Agreements (Doc ID. 438120)	Preventative	Manager Corporate Services	20/08/2019	Adequate
Microwave Connection with Off-site Locations (Doc ID 438118)	Responsive	Manager Corporate Services	18/11/2019	Adequate
Telstra land lines (Doc ID 438121)	Preventative	Manager Corporate Services	18/11/2019	Adequate
Land Lines at Off-site Locations (Thorak and Waste Transfer Stations) DOC IDs 394993 & 438121	Preventative	Manager Corporate Services	18/11/2019	Adequate
Vendor Support (Doc ID 439170)	Preventative	Manager Corporate Services	18/11/2019	Adequate
ICT Improvement Plan (Doc id 448415)	Preventative	Manager Corporate Services	3/03/2020	Adequate
ICT Access Control and Approval Procedures (438106)	Preventative	Manager Corporate Services	14/11/2019	Adequate

**Overall Control Ratings:** Adequate

Risk Ratings		Rating
<b>Consequence:</b>		Moderate
<b>Likelihood:</b>		Possible

**Overall Risk Ratings:** Moderate

Key Indicators	Tolerance	Date	Overall Result
Acknowledgement of the lodgement of technology issue	<1day		
Resolution of Category 1 Urgent technology issue	<2days		
Resolution of Category 2 Moderate technology issue	<5days		
Resolution of Category 3 Non-urgent technology issue	<15days		

**Comments**

As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to moderate service interruption and compliance impacts

Current Issues / Actions / Treatments	Due Date	Responsibility
Implement Business Systems Review and develop Roadmap (Item 3.1.1)	Dec-19	Information Technology Program Leader
Develop high level ICT business continuity plan (BCP) and Disaster. (Item 5.2.1)	Dec-19	Information Technology Program Leader
Mitigate legacy software platforms (Windows Server) (Item 5.1.4)	Feb-20	Information Technology Program Leader
Develop Unified Communications (Voice/Video/Data) – Telecommunications plan. (Item 2.1.4)	Feb-20	Information Technology Program Leader
ICT Security Audit 2020 - Actions	Dec-21	Information Technology Program Leader

## RP7 - Failure to Fulfil Statutory, Regulatory or Compliance Requirements

Jan-18

**This Risk Theme is defined as:**

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

It does include the Local Government Act and all other legislative based obligations for Local Government. This does not include Safety & Health Legislation (refer "Inadequate safety and security practices") or any Employment Practices based legislation (refer "Ineffective HR Management / Employment practices")

**Potential causes include:**

- Lack of Training, Awareness and Knowledge
- Staff Turnover
- Inadequate Record Keeping
- Ineffective Processes
- Lack of Legal Expertise
- Councillor Turnover
- Breakdowns in Tender process
- Ineffective Monitoring of Changes to Legislation

Key Controls	Type	Owner	Date	Rating
Compliance Checklist	Detective	Manager People & Performance	14/09/2017	Adequate
Compliance Calendars	Preventative	Manager People & Performance	14/09/2017	Adequate
Councils Policy Framework	Preventative	Manager People & Performance	14/09/2017	Adequate
External Auditor Reviews (Financial Compliance)	Detective	Manager People & Performance	14/09/2017	Adequate
External/ Internal Auditor Reviews (Other Compliance)	Detective	Manager People & Performance	14/09/2017	Inadequate
Monitor Legislative Changes / Subscriptions	Detective	Manager People & Performance	14/09/2017	Adequate
Induction Process - Councillors / Staff	Preventative	Manager People & Performance	14/09/2017	Adequate
Staff Network Channels	Detective	Manager People & Performance	14/09/2017	Adequate
Legislative Reporting to Regulators	Detective	Manager People & Performance	14/09/2017	Adequate
Internal Compliance Audit - Quarterly	Detective	Manager People & Performance	14/09/2017	Adequate
Scheduled Review of Council Policies and Delegations	Detective	Manager People & Performance	14/09/2017	Adequate
Tender Process	Preventative	Manager Infrastructure & Assets	14/09/2017	Adequate
Road Openings and Road Closures Procedures (Doc id 420364)	Preventative	Manager Infrastructure & Assets	11/01/2019	Excellent
Annual review of external auditor by RMAC	Preventative	Manager Corporate Services	3/03/2020	Adequate
Dog By-laws administration (Doc id 456989)	Preventative	Manager Regulatory Services	27/02/2020	Excellent
Internal Audit Program (Doc ID 417918)	Detective	Manager People & Performance	8/05/2018	Excellent

**Overall Control Ratings:** Adequate

Risk Ratings	Rating
Consequence:	Major
Likelihood:	Unlikely

**Overall Risk Ratings:** Moderate

Key Indicators	Tolerance	Date	Overall Result
Compliance with management, statutory and regulatory budgeting and reporting	100%		
Compliance with legislative requirements as per DOLG Compliance Checklist	100%		
Risk Management Audit Committee Meetings	4 per year		
Internal Audits conducted as defined in Annual Internal Audit Program	3 per year		
Replace non-compliant signs in the signage program to Australian Standards	100%		
Compliance with Cemetery regulations	100%		

**Comments**

As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to major compliance impact

Current Issues / Actions / Treatments	Due Date	Responsibility



**RP8 - Inadequate Safety and Security Practices** **Jan-18**

**This Risk Theme is defined as:**  
 Non-compliance with the Health and Safety Legislation, associated regulations and standards. It is also the inability to ensure the physical security requirements of staff, contractors and visitors.

*Other considerations are:*

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

- Potential causes include:**
- Lack of Appropriate PPE / Equipment
  - Inadequate Signage, Barriers or other Exclusion Techniques
  - Inadequate First Aid Supplies or Trained Staff
  - Storage and Use of Dangerous Goods
  - Rubbish / Litter Control
  - Ineffective / Inadequate Testing, Sampling (similar) Health Based Req
  - Inadequate Security Arrangements
  - Lack of Mandate and Commitment from Senior Management

Key Controls	Type	Owner	Date	Rating
Workplace Inspections - Off-site Locations	Preventative	Manager Infrastructure & Assets	14/09/2017	Adequate
Workplace Inspections - Administration	Preventative	Manager Infrastructure & Assets	14/09/2017	Inadequate
WHS Policy	Preventative	Manager People & Performance	14/09/2017	Adequate
Safety Management System/Framework	Preventative	Manager People & Performance	23/02/2021	Adequate
Contractor Inductions / Safety Requirements (Doc ID 527766)	Preventative	Manager People & Performance	12/01/2022	Inadequate
Toolbox Meetings	Preventative	Manager People & Performance	14/09/2017	Adequate
Inventory Hazardous Goods and MSDS (Doc ID 527594)	Preventative	Manager Operations & Environment	12/01/2022	Adequate
PPE	Preventative	Manager Operations & Environment	14/09/2017	Adequate
Staff Uniforms (protective) (Doc ID 527403)	Preventative	Manager Operations & Environment	12/01/2022	Adequate
Training Register (HR File)	Preventative	Manager People & Performance	14/09/2017	Inadequate
Operator License Checks (Outdoor Workforce)	Detective	Manager People & Performance	14/09/2017	Adequate
Driver License Checks	Detective	Manager People & Performance	14/09/2017	Excellent
Asbestos Register (Doc ID 416357)	Detective	Manager Infrastructure & Assets	27/02/2020	Adequate
Fleet Vehicle and plant Safety Requirements	Preventative	Manager Infrastructure & Assets	14/09/2017	Inadequate
Conflict Resolution Training - Frontline Staff (Doc ID 526934)	Preventative	Manager People & Performance	12/01/2022	Inadequate
Fire Safety Systems Check (Doc id 458348)	Detective	Manager Infrastructure & Assets	27/02/2020	Excellent
Electrical Tag and Test (Doc ID 416358)	Detective	Manager Infrastructure & Assets	27/02/2020	Adequate
Incident/Accident and Damage Reporting	Detective	Manager People & Performance	14/09/2017	Adequate
Staff Inductions	Preventative	Manager People & Performance	14/09/2017	Adequate
Insurance Cover (Doc ID 526953)	Preventative	Manager People & Performance	12/01/2022	Adequate
Works Permit – Public Liability Insurance (Doc id 419761)	Preventative	Manager Infrastructure & Assets	9/01/2019	Adequate
first aid kits and fire extinguishers in all Council vehicles	Preventative	Manager Infrastructure & Assets	8/05/2018	Excellent

**Overall Control Ratings:** Inadequate

Risk Ratings		Rating
<b>Consequence:</b>		Major
<b>Likelihood:</b>		Possible

**Overall Risk Ratings:** High

Key Indicators	Tolerance	Date	Overall Result
Number of WorkSafe Notifiable Incidents			
Lost Time Injuries			
Public liability Insurance claims			

**Comments**

As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to major injury, financial and compliance impacts. Note the inadequate overall control rating is from the perspective of Council as an organisation and may not be reflective of individuals and/or individual work areas approaches to safety.

Current Issues / Actions / Treatments	Due Date	Responsibility
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## RP9 - Ineffective and Unsustainable Financial Management Jan-18

**This Risk Theme is defined as:**

Failure to ensure Council manages its finances in a responsible and sustainable manner in the short and long term.

**Potential causes include:**

- Historical Legacy
- Uncertainty of Funding Sources
- Lack of Information (Assets, Debtors)
- Lack of Policy Framework
- Investment Performance
- Council Decisions

Key Controls	Type	Owner	Date	Rating
Long Term Financial Plans	Preventative	Manager Corporate Services	14/09/2017	Adequate
Finance Reports Monthly	Detective	Manager Corporate Services	14/09/2017	Adequate
Internal Audit Program (Doc ID 417918)	Detective	Manager People & Performance	8/05/2018	Adequate
External Audit Program	Detective	Manager Corporate Services	14/09/2017	Adequate
Delegation Manual	Preventative	Manager People & Performance	14/09/2017	Adequate
General Ledger and Journal control	Preventative	Manager Corporate Services	14/09/2017	Adequate
Finance Policies	Preventative	Manager Corporate Services	14/09/2017	Adequate
Segregation of Duties	Preventative	Manager Corporate Services	14/09/2017	Adequate
Developer Contribution Plan (Doc ID 415869)	Preventative	Manager Infrastructure & Assets	14/09/2017	Inadequate
Budgets - Reviews	Preventative	Manager Corporate Services	14/09/2017	Adequate
Project management of capital projects	Preventative	Manager Infrastructure & Assets	30/11/2017	Adequate
Rating strategy	Preventative	Manager Corporate Services	30/11/2017	Adequate
Investment policy	Preventative	Manager Corporate Services	30/11/2017	Adequate
Asset management system - Capital value records	Preventative	Manager Corporate Services	30/11/2017	Adequate
Grant acquittal	Preventative	Manager Corporate Services	30/11/2017	Adequate
Rating parameters approval by Finance Manager	Preventative	Manager Corporate Services	30/11/2017	Excellent
Debt Recovery - processes and agreements	Responsive	Manager Corporate Services	14/09/2017	Excellent
Risk Management and Audit Committee (Doc id 447381)	Detective	Manager People & Performance	3/03/2020	Adequate
Asset Management Plans	Preventative	Manager Infrastructure & Assets	14/09/2017	Inadequate
Rating Policy	Preventative	Manager Corporate Services	14/09/2017	Adequate
Annual review of financial manuals and procedures	Preventative	Manager Corporate Services	23/02/2021	Adequate
Asset Valuations (Doc id 458338)	Preventative	Manager Infrastructure & Assets	27/02/2020	Excellent
<b>Overall Control Ratings:</b>				<b>Adequate</b>

Risk Ratings		Rating
<b>Consequence:</b>		Major
<b>Likelihood:</b>		Unlikely
<b>Overall Risk Ratings:</b>		<b>Moderate</b>

Key Indicators	Tolerance	Date	Overall Result
Current Years Rates Outstanding	<15%		
Rates Coverage Ratio	>50%		
Liquidity Ratio	>1:1		
Asset Sustainability Ratio	90%		
Grants Acquitted Within Timeframes	100%		

**Comments**

As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to major financial and reputational impacts

Current Issues / Actions / Treatments	Due Date	Responsibility
Review Developer Contribution Plan	Jun-18	Project Management Program Leader
Asset management plans in progress	Jul-18	Manager Infrastructure & Assets

## RP10 - Ineffective Management of Public Facilities / Venues / Events

Jan-18

### This Risk Theme is defined as:

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

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

### Potential causes include:

- Double Bookings
- Illegal Alcohol Consumption
- Managing Bond Payments
- Animal / Pest Contamination.
- Reliance on External Management of Facilities
- Access to Facilities / Venues.

Key Controls	Type	Owner	Date	Rating
Booking / Permit System	Preventative	Manager Communications & Community	14/09/2017	Adequate
Inspection and Maintenance Program - Other Assets (Doc id 458319)	Preventative	Manager Infrastructure & Assets	14/09/2017	Inadequate
Community Feedback Process	Detective	Manager Communications & Community	14/09/2017	Adequate
Event Management, Risk Assessments, Emergency Procedures (Doc id 458494)	Preventative	Manager Communications & Community	2/03/2020	Inadequate
Outsource Management at Key Recreational Reserve	Preventative	Manager Communications & Community	14/09/2017	Inadequate
Operations Manuals	Preventative	Manager Communications & Community	14/09/2017	Inadequate
Conditions of Entry to Public Facilities	Preventative	Manager Communications & Community	14/09/2017	Adequate
Community Events Procedures on Public Land	Preventative	Manager Communications & Community	14/09/2017	Adequate
Public Building Compliance	Preventative	Manager Infrastructure & Assets	14/09/2017	Inadequate
Alcohol Management	Preventative	Manager Communications & Community	14/09/2017	Adequate
Noise Management	Preventative	Manager Communications & Community	14/09/2017	Adequate
Asbestos Register (Doc ID 416357)	Preventative	Manager Infrastructure & Assets	30/11/2017	Adequate
Removal of abandoned vehicles (Doc id 456987)	Preventative	Manager Regulatory Services	27/02/2020	Adequate
Tree management plan	Preventative	Manager Infrastructure & Assets	3/03/2020	Adequate
Playground inspection program	Preventative	Manager Infrastructure & Assets	3/03/2020	Adequate
Budgets to Support Public Facilities	Preventative	Manager Communications & Community	14/09/2017	Inadequate

**Overall Control Ratings:** Inadequate

Risk Ratings	Rating
<b>Consequence:</b>	Moderate
<b>Likelihood:</b>	Possible

**Overall Risk Ratings:** Moderate

Key Indicators	Tolerance	Date	Overall Result
Overall community satisfaction from Annual Community Survey	>70%		
Number of community events			

### Comments

As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to moderate people and reputational impacts. Noting that Council has less control of this risk on public lands through reserve management.

Current Issues / Actions / Treatments	Due Date	Responsibility
Formalise Public Places By-Law	Jun-19	General Manager Business
Review Reserve Management Leases and budget requirements	May-18	General Manager Business
Develop Inspection/Maintenance program	Jun-18	Manager Infrastructure & Assets
Formalise Procedures, Documentation and Checklists for Core Operations - Corp and Comm Serv	Sep-18	General Manager Business

**RP11 - Inadequate Records Management Processes** **Jan-18**

**This Risk Theme is defined as:**  
 Failure to adequately capture, store, archive, retrieve, provision and / or disposal of records and documentation. This includes:  
 • Contact lists.  
 • Procedural documents.  
 • 'Application' proposals/documents.  
 • Contracts  
 • Forms, requests or other documents.

**Potential causes include:**

- Spreadsheet/Database/Document Corruption or	- Outdated Record Keeping Practices / Incompatible Systems
- Inadequate Access and/or Security Levels	- Lack of System/Application Knowledge
- Inadequate Storage Facilities	- High Workloads and Time Pressures
- Staff Turnover / Loss of Corporate Knowledge	- Incomplete Authorisation Trails

Key Controls	Type	Owner	Date	Rating
Central Record Systems (EDMS)	Preventative	Manager People & Performance	14/09/2017	Adequate
Records Management Committee	Preventative	Manager People & Performance	14/09/2017	Adequate
Records Management Process (Doc id 419406)	Preventative	Manager People & Performance	2/01/2019	Adequate
Records Management Policy (Doc id 419406)	Preventative	Manager People & Performance	2/01/2019	Adequate
Document / Correspondence Receipt / Action Process	Preventative	Manager People & Performance	14/09/2017	Adequate
On and Off Site Records Storage (Doc id 419960)	Preventative	Manager People & Performance	4/01/2019	Adequate
Records Management Strategy	Preventative	Manager People & Performance	4/02/2022	Inadequate

**Overall Control Ratings:** Adequate

Risk Ratings	Rating
<b>Consequence:</b>	Minor
<b>Likelihood:</b>	Possible

**Overall Risk Ratings:** Moderate

Key Indicators	Tolerance	Date	Overall Result
Incoming documents entered into records management system	<1day		
Staff using records management system	>80%		

**Comments**  
 As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to moderate compliance impacts

Current Issues / Actions / Treatments	Due Date	Responsibility
Records Management Audit		Manager People & Performance

**RP12 - Inadequate Project/Change Management** **Jan-18**

**This Risk Theme is defined as:**  
 Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time requirements or scope changes.  
*This includes:*  
 • Inadequate Change Management Framework to manage and monitor change activities.  
 • Inadequate understanding of the impact of project change on the business.  
 • Failures in the transition of projects into standard operations.  
 • Failure to implement new systems

- Potential causes include:**
- Lack of Communication and Consultation
  - Lack of Investment
  - Ineffective Management of Expectations (Scope
  - Inadequate Project Planning (Resources/Budget)
  - Lack of Project Methodology Knowledge and Reporting Requirements
  - Inadequate Monitoring and Review
  - Project Risks not Managed Effectively

Key Controls	Type	Owner	Date	Rating
Project Management Framework (Project Methodology)	Preventative	Manager Infrastructure & Assets	14/09/2017	Adequate
Project Budget Tracking	Detective	Manager Corporate Services	14/09/2017	Adequate
New Initiative Reporting	Detective	Manager Corporate Services	14/09/2017	Adequate
Council Adoption of New Initiatives	Preventative	Manager Corporate Services	14/09/2017	Adequate
Community Engagement Strategy and Policy - Implementation of strategy over 4 years - ongoing from Feb 2018	Preventative	Manager Communications & Community	14/09/2017	Excellent
Project Status Reporting	Detective	Manager Infrastructure & Assets	14/09/2017	Adequate
Project Management Training	Preventative	Manager People & Performance	14/09/2017	Inadequate
Change Management Plan	Preventative	Manager People & Performance	14/09/2017	Inadequate

**Overall Control Ratings:** Inadequate

Risk Ratings		Rating
<b>Consequence:</b>		Moderate
<b>Likelihood:</b>		Possible

**Overall Risk Ratings:** Moderate

Key Indicators	Tolerance	Date	Overall Result
% Variation in Time, Cost, Scope or Quality of Project Estimates and Actuals			

**Comments**

As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to major financial and reputational impacts

Current Issues / Actions / Treatments	Due Date	Responsibility

## RP13 - Inadequate Engagement Practices Jan-18

**This Risk Theme is defined as:**

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

**Potential causes include:**

- Budget / Funding Issues
- Media Attention
- Inadequate Documentation or Procedures
- Short Lead Times
- Miscommunication / Poor Communication (Internal / External)
- Relationship Breakdowns with Community Groups

Key Controls	Type	Owner	Date	Rating
Some Public Education Programs (Animal Management, Waste)	Preventative	Manager Communications & Community	14/09/2017	Adequate
Council Reports	Preventative	Manager People & Performance	14/09/2017	Adequate
Community Engagement Strategy and Policy - Implementation of strategy over 4 years - ongoing from Feb 2018	Preventative	Manager Communications & Community	14/09/2017	Excellent
Media Policy	Preventative	Manager Communications & Community	14/09/2017	Adequate
Communications Plans within Project Plans/Events	Preventative	Manager Communications & Community	23/02/2021	Adequate
Strategic Partner Lists	Preventative	Manager Communications & Community	14/09/2017	Adequate
Sponsorship Policy	Preventative	Manager Communications & Community	14/09/2017	Adequate
Councillor Bulletin	Preventative	Manager Communications & Community	14/09/2017	Adequate
Annual Rates Newsletters	Preventative	Manager Communications & Community	14/09/2017	Adequate
Require Public Consultation prior to Granting Works Permit (Doc id 4472)	Preventative	Manager Infrastructure & Assets	17/01/2019	Adequate
Pop Up Info and Consultation Stalls	Detective	Manager Communications & Community	14/09/2017	Adequate
Animal Management Plan (Doc id 456988)	Preventative	Manager Regulatory Services	27/02/2020	Excellent
Provision of economic and social data via Council website (Doc id 4472)	Preventative	Manager People & Performance	3/03/2020	Excellent
Community Grants Scheme (Doc id 448168)	Preventative	Manager Communications & Community	2/03/2020	Adequate
Social Media/Website Updates	Preventative	Manager Communications & Community	14/09/2017	Adequate

**Overall Control Ratings:** Adequate

Risk Ratings		Rating
<b>Consequence:</b>		Moderate
<b>Likelihood:</b>		Unlikely

**Overall Risk Ratings:** Moderate

Key Indicators	Tolerance	Date	Overall Result
Overall community satisfaction from Annual Community Survey	>70%		
Media Response Timeframe	<24hrs		
Professional Development Program for Councillors	>2		
Freds Pass Show??	Booth visitors		
Community Education Programs	2		
Dog Awareness Education Program delivered to Primary Schools	>2 per year		

**Comments**

As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to reputational impacts

Current Issues / Actions / Treatments	Due Date	Responsibility

**RP14 - Inadequate Procurement / Supplier / Contract Management** **Jan-18**

**This Risk Theme is defined as:**  
 Inadequate management of External Suppliers, Contractors, ICT Vendors or Consultants engaged for core operations and the associated procurement. This includes issues that arise from the ongoing supply of services or failures in contract management & monitoring processes.

- Potential causes include:**
- Funding
  - Complexity and Quantity of Work
  - Inadequate Tendering Process
  - Historical Contracts
  - Inadequate Contract Management Practices
  - Ineffective Monitoring of Deliverables
  - Lack of Planning and Clarity of Requirements

Key Controls	Type	Owner	Date	Rating
Contract Management System	Preventative	Manager Infrastructure & Assets	23/02/2021	Adequate
Local Government Guidelines (Doc id 447310)	Preventative	Manager People & Performance	16/11/2021	Adequate
Suppliers and Contractors WHS Requirements	Preventative	Manager Infrastructure & Assets	14/09/2017	Inadequate
Tender Procedure (Doc id 447431)	Preventative	Manager Infrastructure & Assets	1/09/2020	Adequate
Procurement Manual (Doc id 447431)	Preventative	Manager Infrastructure & Assets	1/09/2020	Adequate
FIN03 Procurement Policy (Doc id 447431)	Preventative	Manager Infrastructure & Assets	1/09/2020	Adequate
<b>Overall Control Ratings:</b>				Inadequate

Risk Ratings	Rating
<b>Consequence:</b>	Major
<b>Likelihood:</b>	Possible

<b>Overall Risk Ratings:</b>	High
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Key Indicators	Tolerance	Date	Overall Result
<i>Number of contracts expired prior to renewal</i>			

**Comments**

As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to major financial impacts

Current Issues / Actions / Treatments	Due Date	Responsibility

**RP15 - Inadequate Asset Sustainability Practices****Jan-18****This Risk Theme is defined as:**

Failure or reduction in service levels of infrastructure assets, plant, equipment or machinery. These include fleet, buildings, roads, playgrounds, and all other assets and their associated lifecycle from procurement to maintenance and ultimate 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.*

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

**Potential causes include:**

- Skill Level and Behaviour of Operators
- Lack of Trained Staff
- Outdated Equipment
- Unavailability of Information and/or Parts
- Lack of Formal or Appropriate Scheduling (Maintenance / Inspections)
- Unexpected Breakdowns

Key Controls	Type	Owner	Date	Rating
Asset Management Plans (Doc id 458323)	Preventative	Manager Infrastructure & Assets	7/12/2021	Inadequate
Procurement Asset Contract Management Committee (PACMan) (Doc id 458322)	Preventative	Manager Infrastructure & Assets	7/12/2021	Adequate
Asset Management System - Asset Register	Preventative	Manager Corporate Services	7/12/2021	Adequate
Asset Handover Procedures (Doc id 420053)	Preventative	Manager Infrastructure & Assets	7/12/2021	Adequate
Conditional Analysis (Doc id 458339)	Detective	Manager Infrastructure & Assets	7/12/2021	Adequate
Asset Valuations (Doc id 458338)	Preventative	Manager Corporate Services	7/12/2021	Inadequate
Inspection and Maintenance Program - Roads	Detective	Manager Infrastructure & Assets	7/12/2021	Adequate
Wet season road network management	Preventative	Manager Infrastructure & Assets	7/12/2021	Inadequate
Capital Works Program	Preventative	Manager Infrastructure & Assets	7/12/2021	Adequate
Street Lighting Program	Preventative	Manager Infrastructure & Assets	7/12/2021	Adequate
Road Network, Road Reserve and Fire Breaks on Council land slashing (447507)	Preventative	Manager Operations & Environment	7/12/2021	Excellent
Inspection and Maintenance Program - Other Assets (Doc id 458319)	Detective	Manager Infrastructure & Assets	7/12/2021	Inadequate

**Overall Control Ratings:****Inadequate**

Risk Ratings	Rating
Consequence:	Moderate
Likelihood:	Unlikely

**Overall Risk Ratings:****Moderate**

Key Indicators	Tolerance	Date	Overall Result
Asset sustainability ratio	90%		
Works (operating) program - as adopted, completed in agreed timeframes	>90%		
Works (capital) program - as adopted, completed in agreed timeframes	>90%		
Drainage / roads meet a condition rating of satisfactory or above	>75%		
Emergency works response mobilised	<48hrs		
Plant serviced within 3 days of service due date	100%		

**Comments**

As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to major financial and reputational impacts

Current Issues / Actions / Treatments	Due Date	Responsibility
Develop Asset Management Plan inc Asset costings to establish renewal program	Jul-18	Manager Infrastructure & Assets
Develop Inspection/Maintenance program	Oct-18	General Manager Infrastructure & Operations



**RP16 - Ineffective HR Management / Employment Practices** **Jan-18**

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

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

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

- Potential causes include:**
- Leadership Failures
  - Available Staff / Volunteers
  - Single Person Dependencies
  - Poor Internal Communications / Relationships
  - Ineffective Performance Management Programs or Procedures.
  - Ineffective Training Programs or Procedures.
  - Limited Employment Market Availability
  - Inadequate Induction Practices.

Key Controls	Type	Owner	Date	Rating
HR Policy and Procedures	Preventative	Manager People & Performance	14/09/2017	Inadequate
Performance Development Plans and Training Register	Detective	Manager People & Performance	14/09/2017	Adequate
Workforce Plan	Preventative	Manager People & Performance	14/09/2017	Inadequate
Staff Inductions (Code of Conduct Component)	Preventative	Manager People & Performance	14/09/2017	Adequate
Staff Surveys	Detective	Manager People & Performance	14/09/2017	Adequate
Recruitment Process	Preventative	Manager People & Performance	14/09/2017	Excellent
Corporate Training Plan	Preventative	Manager People & Performance	14/09/2017	Adequate
Training Budget	Preventative	Manager People & Performance	14/09/2017	Adequate
Implement people and culture program	Preventative	Manager People & Performance	12/02/2018	Adequate
Litchfield Council Enterprise agreement	Preventative	Manager People & Performance	7/02/2022	Adequate
Regular Staff Meetings	Preventative	Manager People & Performance	14/09/2017	Adequate

**Overall Control Ratings:** Adequate

Risk Ratings	Rating
<b>Consequence:</b>	Major
<b>Likelihood:</b>	Unlikely

**Overall Risk Ratings:** Moderate

Key Indicators	Tolerance	Date	Overall Result
Staff turnover rate	<20%		
Organisational development initiatives	3		
Professional development training for each staff member	<1		

**Comments**  
 As rated by Workshop Attendees - 14/9/2017 - Consequence rating referred to service interruption, people and financial impacts

Current Issues / Actions / Treatments	Due Date	Responsibility
Develop Corporate Training Program	Oct-18	Manager People & Performance



## RMAC REPORT

<b>Agenda Item Number:</b>	8.04
<b>Report Title:</b>	Records Management Strategy
<b>Author:</b>	Rebecca Taylor, Policy and Governance Program Leader
<b>Recommending Officer:</b>	Arun Dias, General Manager Business Excellence
<b>Meeting Date:</b>	23/02/2022
<b>Attachments:</b>	A: Records Management Strategy

### Executive Summary

The purpose of this report is to present the Records Management Strategy to RMAC.

### Recommendation

THAT RMAC receive and note the Records Management Strategy.

### Background

As a result of the Records Management Audit conducted in 2021, one of the key findings was that Council did not have a records management strategic plan to drive Council's records management.

The Records Management Strategy, at Attachment A, sets clear objectives, highlights key elements for records management and provides a high-level action plan to ensure success.

### Links with Strategic Plan

A Well-Run Council - Good Governance

### Legislative and Policy Implications

The strategy was developed in accordance with Council's Records Policy.

## Risks



### Governance

There is a risk that Council will be unable to implement the Records Management Strategy as Council’s current budget and FTE allocation only allows for a part time records officer. Under resourcing the records management area will leave Council open to governance issues.

### Financial Implications

As highlighted above, records management needs to be appropriately resourced in Council’s budget.

### Community Engagement

Not applicable.



LITCHFIELD  
COUNCIL

# Records Management Strategy

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DRAFT

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**Authorised Abbreviations and Acronyms:**

- HRRPL : HR & Records Management Program Leader**
- PGPL: Policy & Governance Program Leader**
- CEO : Chief Executive Officer**
- ELT : Executive Leadership Team**
- SLT : Senior Leadership Team**

## 1 Introduction

This document sets out a framework for records management at Litchfield Council. It defines a strategy for improving the quality, availability and effective use of records and provides a strategic framework for all records management activities. This will enable overall coordination of all records management activities and ensure alignment with Litchfield Council's Strategic Plan through good governance.

## 2 Scope

This strategy relates to all operational records held in any format by Litchfield Council

These include records held in all formats, for example:

- paper records, reports, diaries and registers etc;
- electronic records;
- images;
- audio and video tapes.

## 3 Aims

The aims of the records management strategy are to ensure:

- a systematic and planned approach to records management covering records from creation to disposal;
- compliance with statutory requirements;
- awareness of the importance of records management and the need for responsibility and accountability at all levels; and
- appropriate archiving of records.

## 4 Key Elements

The records management strategy comprises the following key elements:

### **Responsibility and Accountability**

To provide a clear system of accountability and responsibility for record keeping and use.

### **Record Quality**

To create and keep records which are adequate, consistent, and necessary for statutory, legal and business requirements.

### **Management**

To achieve systematic, orderly and consistent creation, retention, appraisal and disposal procedures for records throughout their life cycle.

### **Security**

To provide systems which maintain appropriate confidentiality, security, and integrity for records in their storage and use.

### **Access**

To provide clear and efficient access for employees and others who have a legitimate right of access to Litchfield records, and ensure compliance with Local Government Act 2019 and Freedom of Information legislation.

### **Audit**

To audit and measure the records management program.

### **Training**

To provide training and guidance on legal and ethical responsibilities and operational good practice for all staff involved in records management.

## 5 Record Management Tools

The following records management tools support and reinforce this strategy.

Tool	Description
Records Management Policy	Supports the framework for records management
Business Classification Scheme (BCS) User Guide	The BCS provides guidance around the folder structure in InfoXpert.
Naming Convention	Provides order and usage of the name
Business Rules	Outlines Rules and Responsibilities for Records Management
Disposal and Storage Plan	Provides step by step understanding of storage, digitised and dispose of documents
Action Plan	A step-by-step guidance on operations.

## 6. Gap Analysis:

Under section 167 (i) of the Local Government Act 2019 the CEO is responsible for ensuring all records are properly made and maintained. This requires appropriate systems and processes, through a dedicated records management position to implement these. The lack of a dedicated officer to manage records was a key finding of the Grace Records Management Audit done in 2021. Council has not been able to consistently fund a dedicated officer for Records Management in the past.

With inconsistent and ad-hoc resourcing for records management, over a period the records standards will drop and create operational issues. Council could be potentially exposed to non-compliance with essential legislation and policies if records management is not consistently funded into the future.

Council's current records management has some gaps. The table below provides a summary of the current state and the desired state of Council's records management. The actions proposed in section 7 will be required to close the gap and are dependent on the maintenance of a full-time records management position.



<b>Focus Area</b>	<b>Current state</b>	<b>Desired state</b>
Training	Staff are not well trained in record keeping resulting in storage of documents not up to the required standard.	Gap closed through ongoing training program to ensure staff awareness of responsibilities and the provision of tools for proper records management.
Archiving	8 % of records stored with a detailed description.	100% of records stored with a detailed description.
Risk	Documents are not 100% stored at a secure location which could result in potential breaches of the Privacy Act 1988. Documents are not following the 2018/3 Disposal Schedule for Local Authorities (Information Act 2002)	Documents are 100% stored at a secure location. Document management follows the 2018/3 Disposal Schedule for Local Authorities (Information Act 2002)
Business Processes	Lack of specific processes.	Specific processes aligned with records policy and disposal process designed and implemented.
Disposal	Disposal procedure finalised but lack of staff awareness of disposal requirements. Identified the need for a disposal plan.	Disposal procedure and disposal plan implemented and aligned with records management procedures
Old structure in Records system	70 % of all documents not saved in the new Business Classification Scheme. <sup>1</sup>	100% essential documents transferred to the new BCS
Digitalised documents location	Lack of guidelines and direction on storing digital documents between different systems.	Guidelines on storing digital documents in place and compliance regularly audited to ensure correct application is maintained

<sup>1</sup> BCS means Business Classification Scheme which is defined structure for digital records management system.

## 7. Actions

The key elements of this strategy will be implemented as follows.

Responsibility and Accountability			
Objective	Action	Responsible	Due
To provide a clear system of accountability and responsibility for records	Establish a records management strategy	HRRPL	Completed
	Reinforce Records Management Policy	HRRPL	Completed
	Ensure records management is included in induction program	SLT	Completed
	Allocate appropriate resources across the Council to enable the maintenance of the records management function	CEO & Council	Annual Budgets

Record Quality			
Objective	Action	Responsible	Due
To create and keep records which are adequate, consistent, and necessary for statutory, legal and business requirements	<ul style="list-style-type: none"> <li>• Develop and maintain Records Management tools;</li> </ul>	HRRPL & PGPL	
	<ul style="list-style-type: none"> <li>➤ Records Management Policy</li> </ul>		Completed
	<ul style="list-style-type: none"> <li>➤ Business Classification Scheme (BCS) User Guide</li> </ul>		Completed
	<ul style="list-style-type: none"> <li>➤ Naming Convention</li> </ul>		Completed
	<ul style="list-style-type: none"> <li>➤ Business Rules</li> </ul>		Completed
	<ul style="list-style-type: none"> <li>➤ Disposal Procedure</li> </ul>		Completed

	➤ Disposal Plan		May 2022
	➤ Action Plan		April 2022
Management			
Objective	Action	Responsible	Due
To achieve systematic, orderly and consistent creation, appraisal, retention and disposal procedures for records during their lifecycle	Undertake an inventory of all the records held in either hard copy or electronic formats.	HRRPL	March 2023
	Transfer essential documents to the new BCS	HRRPL	March 2023
	Establish procedures for the continuous monitoring of the records management process to ensure that statutory requirements are met.	HRRPL	August 2022
	Establish and implement disposal plan and procedures		May 2022
Security			
Objective	Action	Responsible	Due
To provide systems which maintain appropriate confidentiality, security, and integrity for records in their storage and use	Update and maintain security matrix	HRRPL	June 2022
	Organise the relocation of paper records into appropriately secure storage when they are no longer required for the conduct of current business		December 2022

Access			
Objective	Action	Responsible	Due
To provide clear and efficient access for employees and others who have a legitimate right of access to Litchfield records, and ensure compliance with Local Government Act 2019 and Freedom of Information legislation	Ensure employees are given appropriate access to records.	HRRPL	Completed
	Implement policies and procedures to address the requirements of Freedom of Information	PGPL	Completed
Audit			
Objective	Action	Responsible	Due
To audit and measure the records management program	<ul style="list-style-type: none"> <li>Conduct regular audits of document and folder creations.</li> </ul>	HRRPL	Completed
Training			
Objective	Action	Responsible	Due
To provide training and guidance on responsibilities and good practice for all staff involved with records.	<ul style="list-style-type: none"> <li>Develop a training plan that includes new staff and existing staff</li> </ul>	HRRPL	June 2022

## **8 . Review**

This strategy will be reviewed every four years or as required.

## **9. References**

- a. Local Government Act 2019.
- b. Information Act 2002.
- c. Records Disposal Schedule for Local Authorities in the Northern Territory 2018.
- d. Litchfield Council Records Management Policy.

DRAFT



## RMAC REPORT

<b>Agenda Item Number:</b>	8.05
<b>Report Title:</b>	Litchfield Council Tree Risk Management Plan - Internal audit of Implementation Progress
<b>Author:</b>	Anthony Van Zeeventer, Cemetery and Parks Program Leader
<b>Recommending Officer:</b>	David Jan, Manager Operations and Environment
<b>Meeting Date:</b>	23/02/2022
<b>Attachments:</b>	A: Litchfield Council Tree Risk Management Plan B: Litchfield Council Tree Risk Management Plan - Internal audit of Implementation Progress

### Executive Summary

An internal audit of the implementation progress of Councils tree risk management plan is presented to RMAC for accepting. This audit was commissioned as part of Councils internal audit plan.

### Recommendation

THAT RMAC:

1. Accepts the internal Litchfield Council Tree Risk Management Plan - Internal audit of implementation progress findings;
2. Requests that internal audit treatments be included in the risk register; and
3. Notes the need for tree risk management software and hardware.

### Background

In 2019 Council initiated the development of the Litchfield Council Tree Risk Management Plan (TRMP), adopted by Council in October 2019 and provided as Attachment A. The plan identified inspections four categories of zones based on pedestrian and vehicle usage. These zones were assessed for the level of risk and inspection types and frequencies were recommended for each zone. A target-based tree risk management plan was developed that facilitated an optimal tree inspection regime to ensure risks to the general public are managed at an acceptable level.

Council uses internal audits as a mechanism to ensure operational plans which are adopted are implemented satisfactorily. This audit of the implementation progress of the TRMP was conducted in-house by the Cemetery and Parks Program leader who was employed after the development of the plan and holds a Level 8 Arborist qualification with 30 years' experience.

Overall Council is making good progress on the implementation of the Plan. The employment of a Level 8 arborist in the position of Cemetery and Parks Program Leader exemplifies Council's commitment to managing the tree risk throughout the Municipality. Key recommendations resulting from this internal audit are:

- Council to purchase tree risk management software and hardware
- Council to continue to engage suitably qualified and experienced tree assessors to undertake risk assessments.
- Council to review inspection zones on a biannual basis or when occupancy rate changes.
- Council to implement informal tree hazard training for MWF team

Apart from the purchase and ongoing subscription to maintain tree risk management software, all recommendations can be catered for within the current operational budget.

**Links with Strategic Plan**

A Great Place to Live - Development and Open Space

**Legislative and Policy Implications**

Council has an obligation to ensure the safety of the public when on Council controlled land.

**Risks**



*Financial*

Acceptance of the findings of this audit recognises the need for financial commitment to purchase tree risk management software.

## **Financial Implications**

Officers have submitted a grant application to the Preparing Australian Communities - Local Stream program for full funding of the software and hardware purchase. Council will be responsible for the ongoing software subscription costs.

## **Community Engagement**

Not applicable – internal operations.





In association with  
**Homewood Consulting Pty. Ltd.**

# **Tree Risk Management Plan**

for

## **Litchfield Council**

**Prepared by**

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**21 October 2019**

## Executive Summary

Litchfield Council has commissioned Remote Area Tree Services (RATS) in association with Homewood Pty Ltd to provide a target-based tree risk management plan.

Inspection zones within the Litchfield Council municipality have been mapped based on pedestrian and vehicle usage using desktop GIS mapping, and supported by internal Council consultation. Inspection zones have also been further refined through field testing.

Given the rural nature of the area, four inspection zones have been designated from high usage (Zone 1) to very low target usage (Zone 4). Recommended tree inspection types and frequencies vary for each inspection zone.

A target-based tree risk management plan will allow for an optimal tree inspection regime to be implemented and ensure that risks posed to the general public are managed at an acceptable level.



Figure 1: Humpty Doo Reserve, a high-use reserve within the Litchfield municipality



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## 1. Introduction

The municipality of Litchfield has a population over 25,000 people across an area of 3,100 km<sup>2</sup>. The majority (80%) of the population live in the central districts including McMinns Lagoon, Coolalinga and Howard Springs (Litchfield Council Community Profile, 12 June 2019).

### 1.1 Tree Risk Management Plans

Mature trees in urban environments provide aesthetic, social, health, economic and environmental benefits (McPherson 2007, Moore 2009) but also present a risk of causing harm (injury, death, property damage, disruption of activities). The risk of being injured or killed by a tree is very low; in the United Kingdom for example three people per year are killed by trees in public places which equates to 1 death per 10 million trees in high use areas (Stewart et al. 2013).

People have a range of attitudes towards trees and the risks associated with them (Helliwell 1990). When a tree causes a fatality or a serious injury the associated media coverage commonly increases the public's perception of the risk posed by trees (Stewart et al. 2013). Australia has become an increasingly litigious society which is focused on political attribution of responsibility for identifying and managing tree risks (Davidson & Kirkpatrick 2014). In some circumstances elevated perceptions of tree risk and fear of litigation has led to disproportionate levels of tree risk management (Ball & Watt 2013).

Local government authorities (LGA) have the responsibility for maintaining the safety of large tree populations and are also required to address their residents' perceptions of the risk posed by trees (Figure 2). To optimise the use of resources for tree risk mitigation and attend to public fears a tree risk management plan is required (Pokorny 2003, Tree Management Office 2013).



Figure 2: Homewood Consulting Pty Ltd assessing a whole tree failure in the nature strip outside a childcare centre. Proactive tree risk assessment could have identified this risk and mitigated it before the tree failed.

### 1.2 Tree Risk Management Plan Objectives

A tree risk management plan provides a proactive and systematic approach to the allocation of resources required to inspect trees. The Litchfield Council - Tree Risk Management Plan has been developed to facilitate achievement of the following objectives:

- Implement a program of proactive tree assessment which effectively reduces the risks associated with Council managed trees for residents and visitors to Litchfield Council.

- Use a target-based risk assessment method to prioritise resource allocation for tree inspections.
- Implement an auditing process to monitor the quality of tree inspections and ensure consistency between tree assessors.
- Implement a feedback process to continually improve risk zone classifications.
- Integrate tree risk management with other municipal programs such as tree planting, emergency response and tree pruning and maintenance.

### 1.3 What is Tree Risk Assessment?

The objective of tree risk assessment is to identify the part of the tree (whole tree, large branch or small branch) most likely to fail and prescribe works which reduces the risk caused by the failure to an acceptable level.

Arborists use a variety of risk assessment methods to evaluate the risk presented by trees (Norris 2007). A common element in all these methods is the evaluation of damage potential, target value and failure potential.

#### 1.3.1 Failure Potential

The failure potential is attributed to the part of the tree which is most likely to fail (Figure 3). Tree parts include:

- Whole tree, failure at root plate / lower trunk failure.
- Major branch, failure at the major branch unions and deadwood.
- Small branch, failure at the minor branch unions and deadwood.

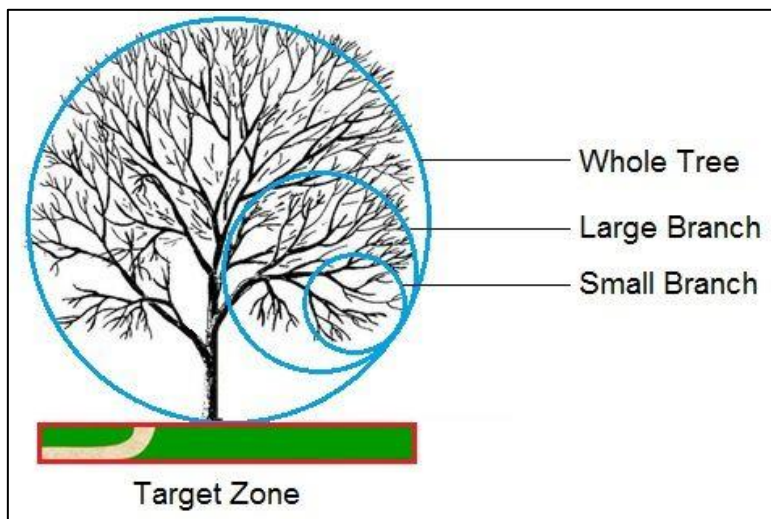


Figure 3: Tree risk assessment identifies the part of the tree which is most likely fail.

The potential for failure considers the tree part that is most likely to fail under normal weather conditions. The time period in which failure potential is likely to occur is considered within tree risk assessment methodologies (see Unqualified Council staff may be able to identify tree hazards during their regular day to day work. Council staff undertaking unscheduled identification of tree hazards must have experience in the field of parks, natural resource management or similar; and must have undertaken informal tree hazard identification training e.g. participated in a workshop run by a suitably qualified arborist to identify obvious defects such as trees that have up-rooted and have fallen / failed or are in imminent danger of falling, trees that have a major branch or canopy



failure. The purpose of the workshop is to ensure hazards that present an immediate risk are effectively identified and managed. Subsequent walkover, drive-by or individual tree assessments must be undertaken by a qualified arborist.

Recommend Inspection Types and Frequencies).

To evaluate the failure potential the tree assessor must assess for defects in relation to the species and health of the tree. Tree assessors must have suitable knowledge and experience to undertake this work (see Assessors Qualifications).

### 1.3.2 Target Value

The target value is attributed to the object that is most likely to be hit, injured and damaged in the event of a tree failure. Targets include people and property which could be injured, damaged, or disrupted by a tree failure.

Over the last decade the use of target led tree risk assessment methods has become increasingly widespread within arboriculture (Stewart et al. 2013). For LGAs which have the responsibility for managing large tree populations, target-based risk assessment is a valuable mechanism for the prioritisation of resources.

### 1.3.3 Tree Structure

Probability of failure rating is directly related to the structure of the tree. Structural defects include decayed wood, cracks, root problems, weak branch unions, cankers, poor tree architecture and deadwood (Pokorny, 2003, Dunster, 2013).

If a tree has sound structure it is generally assessed as having a low probability of failure; when a tree exhibits structural defects the probability of failure is increased.

### 1.3.4 Tree Health

Healthy trees have functional canopies and root systems which are able to produce resources (carbohydrates) through the process of photosynthesis. Healthy trees have sufficient resources to allocate to reactive wood growth which can strengthen structural defects and reduce the probability of failure (Mattheck & Breloer 1994, Waring 1998).

In comparison, trees in poor condition or poor health are less likely to have resources available to invest in reactive wood growth, which may increase the likelihood of structural failure.

### 1.3.5 Tree Species

Species is also an important consideration when assessing probability of failure because tree species vary in their ability to sustain structural defects. Assessment of the probability of failure requires an understanding of the failure modes of individual tree species (Lonsdale 1999, Smiley et al. 2006).

Certain species are recognised as being “problematic”. For example, *Khaya senegalensis* (African Mahogany), originally from Central and West Africa has been a popular street tree in the Northern Territory since the 1950’s. However, it tends to produce a large heavy canopy that can be hazardous if not proactively managed.

## 2. Inspection Zones

Assigning inspection zones to land is a useful way to manage large tree populations, through guiding tree inspection methodologies and frequencies.

Land managed by Litchfield Council has been zoned using a desktop GIS model, supported by internal Council consultation. Inspection zones have also been further refined through field testing. Inspection zones have been categorised primarily based on pedestrian and vehicle usage ranging from high usage (Zone 1) to very low usage (Zone 4).

To ensure consistency in the application of inspection zones throughout Litchfield Council, descriptors for each zone are provided in Section 2.1.

Whilst some areas managed by Litchfield are easily demarcated and zoned (such as Coolalinga Central), other areas such as Freds Pass Reserve have multiple zones due to variable usage.

Freds Pass Reserve is utilised by over 20 community groups / social organisations. An estimated 316,000 people visit the reserve each year (30,000 annual show, 78,000 weekly market, 208,000 general use). In contrast this reserve has bushland areas that are rarely accessed. The following images highlight the complexity around Freds Pass Reserve.



Figure 4 – Freds Pass Reserve is used for a multitude of purposes across 13 ha





Figure 5 – This aerial image of Freds Pass Reserve (Nearmap 2019) shows areas of both high use (e.g. sports fields) and low use (e.g. bushland)



Figure 6: *Khaya senegalensis* scattered along a high use / main thoroughfare within Freds Pass Reserve

## 2.1 Zone Descriptions

Descriptions for each zone are provided in the section below. For a summary of inspection zones and associated inspection methodologies and frequencies refer to Appendix 1 on page 27.

Table 1: Overview of Inspection Zones

Inspection Zone No.	Inspection Zone Category	Usage
<b>Zone 1</b>	<b>High</b>	High usage areas
<b>Zone 2</b>	<b>Moderate</b>	Moderate usage areas
<b>Zone 3</b>	<b>Low</b>	Low usage areas
<b>Zone 4</b>	<b>Very Low</b>	Very low usage areas

### 2.1.1 Zone 1:

These areas are subject to the highest levels of pedestrian or vehicle flow within Litchfield, such as high-density urban areas and high use parks.

Areas included within **Zone 1** will be guided by the following:

- High pedestrian flow (> 8 per hour / > 61,000 per year).
- High vehicle flow (> 20 per hour / > 480 per day).
- High value targets (> \$25,000) such as buildings, power cables etc. that will be damaged in the event of tree failure.

Types of areas that should be considered for **Zone 1** inclusion:

- Emergency access routes, medical and emergency facilities and shelters, equal access areas.
- Main thoroughfares: Principal feeder streets, areas surrounding schools/educational buildings
- Urban road reserves (e.g. 40-50km zones, areas with footpaths, blocks up to 0.5 hectares).
- Permanent structures, playgrounds, and sports fields within high-use reserves and public areas.
- Individual trees or neighbourhoods with high-risk tree characteristics such as:
  - high density of large diameter, mature, or “problematic” tree species (e.g. *Khaya senegalensis*), standing dead trees or those with very poor condition class ratings (>15cm DBH), severely storm-damaged trees (>15cm DBH).

Example localities include, Coolalinga Central, Humpty Doo Reserve, Howard Park Reserve and some areas within Berry Springs and Freds Pass Reserve.



Figure 7 – Zone 1 (red) within Coolalinga Central (red) (Nearmap 2019)

### 2.1.2 Zone 2:

Zone 2 areas have moderate levels of traffic and pedestrian flow, such as local roads and moderate use parks. These areas are subject to irregular use and will be guided by the following:

- Moderate pedestrian flow (2 – 8 per hour / 17,000 to 70,000 per year).
- Moderate vehicle flow (2 – 20 vehicles per hour / 48 - 480 vehicles per day).
- Moderate value targets (\$2,500 to \$25,000) such as buildings, outdoor furniture etc, that will be damaged in the event of failure.

Types of areas that should be considered for **Zone 2** inclusion:

- Secondary thoroughfares: including congested and visually obstructed intersections.
- Moderate-density residential road reserves (e.g. 60-70km zones, blocks up to 5 hectares).
- Permanent structures and playgrounds within moderate use reserves.
- Parking lots and bus stops adjacent to moderate-use areas.

Example localities include, some areas of Berry Springs Reserve and McMinns Lagoon Reserve, and localities such as Herbert and Bees Creek.

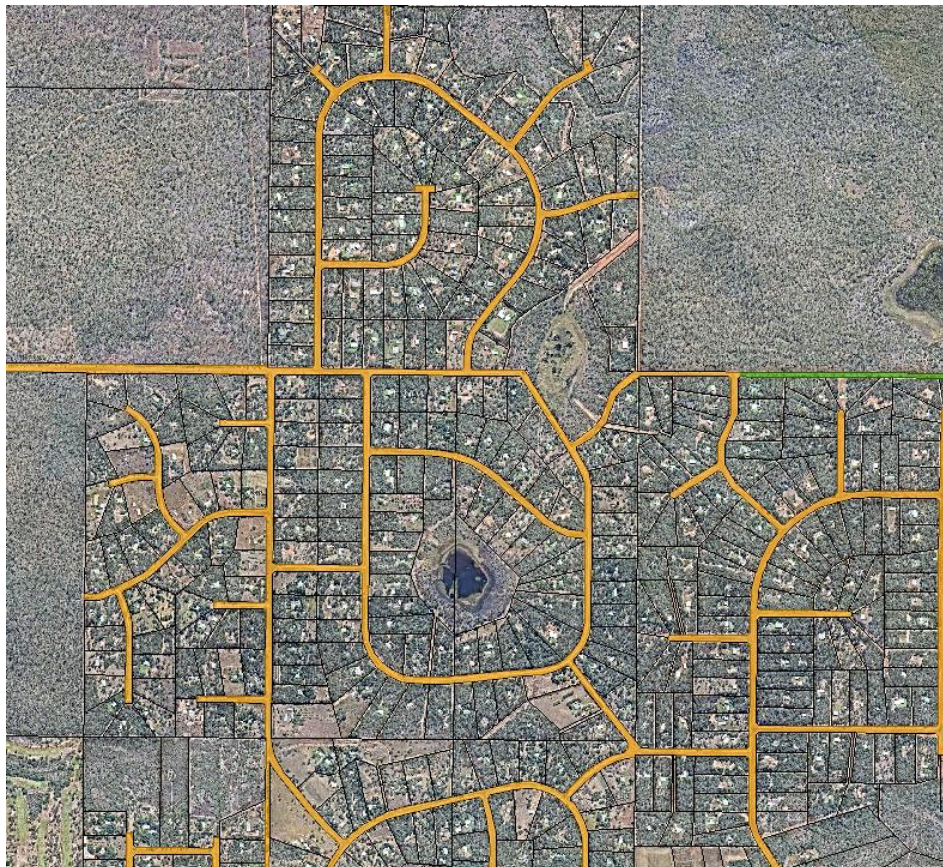


Figure 8 – Zone 2 (orange) local road reserves within the locality of Herbert (Nearmap 2019)

### 2.1.3 Zone 3:

Zone 3 areas have low and localised traffic and pedestrian flow. These areas are low use and will be guided by the following:

- Low pedestrian flow (1 per day - 1 per hour / 365 to 8,760 per year).
- Low vehicle flow (average of 5 - 47 vehicles per day).
- Low value targets (\$1,000 to \$10,000) such as low value buildings, sheds, recreational facilities etc. that will be damaged in the event of failure.

Types of areas that should be considered for **Zone 3** inclusion:

- Public areas with dispersed recreation (e.g. walking trails within reserves).
- Rural road reserves (e.g. agricultural areas, industrial areas, 80km + zones).

Example areas include, road reserves in the localities of Tumbling Water, Acacia Hills and Livingstone, and McMinns Lagoon Reserve walking trails.

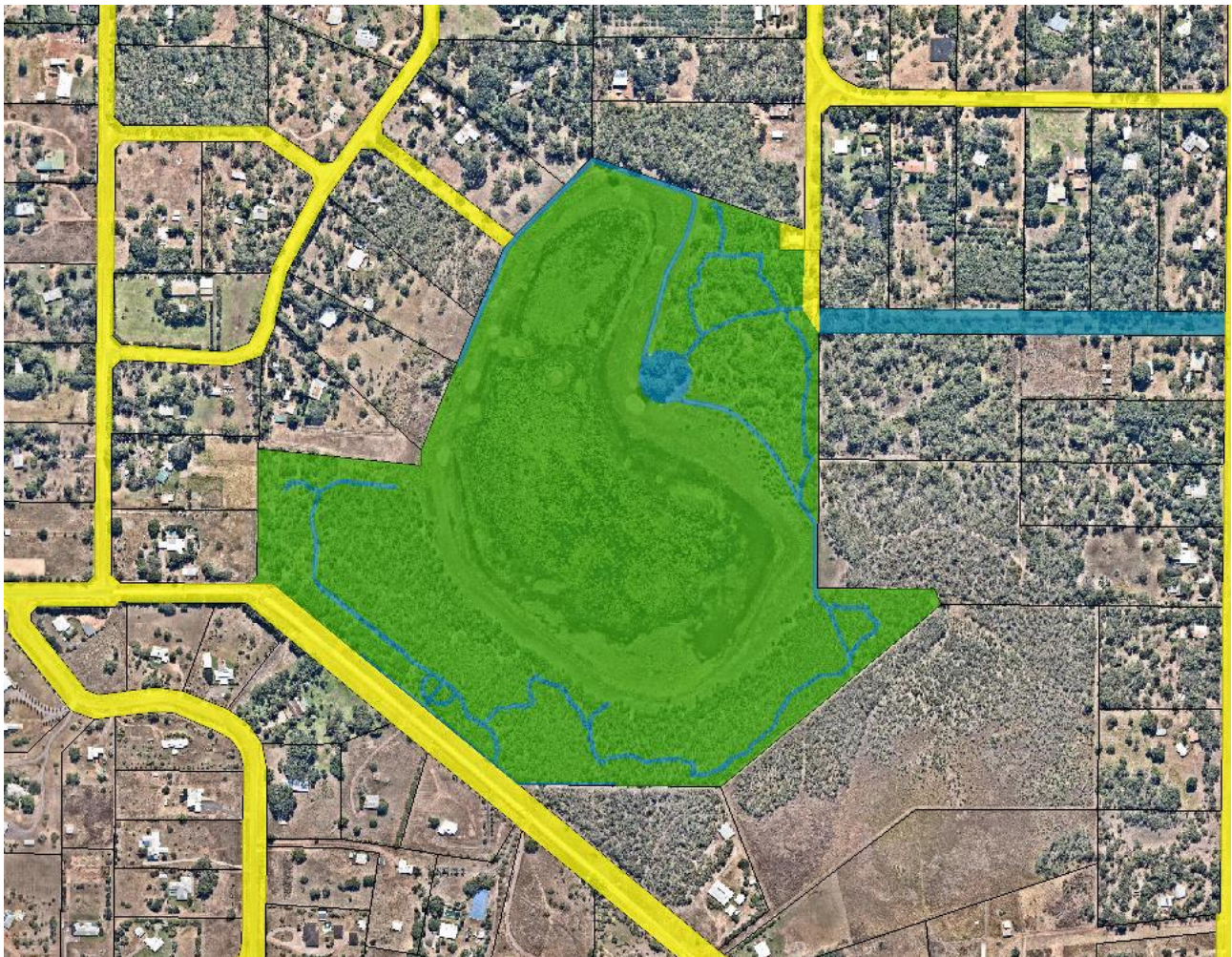


Figure 9: Walking trails within McMinns Lagoon Reserve are Zone 3 (blue) (Nearmap 2019)

#### 2.1.4 Zone 4:

Zone 4 areas are very low use, mostly comprised of bushland or unmanaged / unmown areas. These areas are infrequently accessed and will be guided by the following:

- Very low pedestrian flow (< 1 per day / < 365 per year).
- Very low vehicle flow (less than 5 vehicles per day).
- Very low value targets (less than \$1,000) such as sheds, fences etc, that will be damaged in the event of failure.

Areas that should be considered for **Zone 4** inclusion:

- Riparian zones, and peripheral areas with limited use or access (e.g. fire breaks and 4WD tracks).
- Bushland areas within reserves.
- Council managed (and maintained) drainage land.
- Developing or recently developed areas with newly planted trees.
- Inaccessible drainage land.
- Rural road reserves (4WD tracks, no through roads in agricultural areas).

Example areas include, bushland areas within Knuckey Reserve, and Freds Pass Reserve, Girraween Road Drainage Reserve.



Figure 10: Bushland areas within Knuckey Reserve are Zone 4 (green) (Nearmap 2019)

## 2.2 Multi Zone Example

Freds Pass Reserve is a good example of a Council managed area that has all four zones due to variable land usage. This reserve has been broken down as follows:

- Zone 1 (red) – includes the hub of the site including key recreational facilities, sporting fields, thoroughfares and market site.
- Zone 2 (yellow) – includes the moderate use recreational areas that are generally not thoroughfares and are accessed purely for their purpose e.g. AFL, cricket, polo.
- Zone 3 (blue) – includes areas where recreation is dispersed and vegetation is dense e.g. archery, paintball.
- Zone 4 (green) – includes bushland areas that are rarely accessed

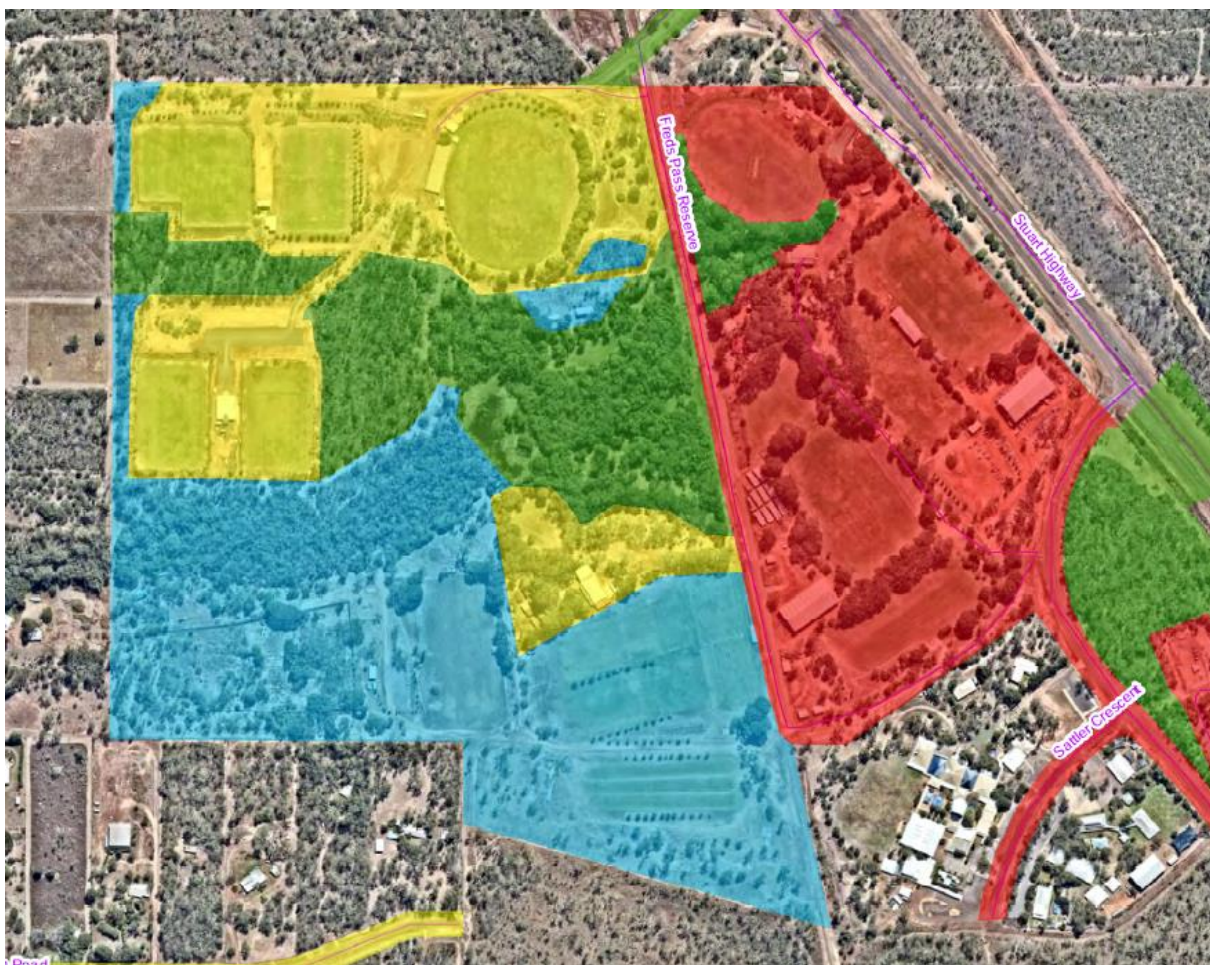


Figure 11: Freds Pass Reserve has been assigned all four zones due to variable usage across the site



## 2.3 Mapping Methodology

### 2.3.1 Base Map

ArcGIS 10.2 was used to create an inspection zone base map. The methods used to create the base map are described below (Table 3).

Table 2: Methods used to create inspection zones base map

Feature Type	Method	Details
Roads	Use cadastral information to create a road layer. Manually create polygons where necessary to ensure all Litchfield managed roads are included. Identify road types using Litchfield Council road data.	Use aerial images to create polygons for zone demarcation based on inspection zone descriptors.
Parks and Public Space	Use cadastral information to create parks layer. Identify playgrounds, buildings, carparks and footpaths with use of aerial photography, previously mapped paths and Litchfield Council GIS data.	Use aerial images to create polygons for zone demarcation based on inspection zone descriptors. Buffer 3m around mapped paths. Buffer at least 10m around recreational facilities, buildings, etc.

### 2.3.2 Consultation

To ensure inspection zone mapping for each reserve is consistent with existing on-ground usage internal consultation was undertaken with the Council staff. Draft inspection zones for each reserve were updated based on Council staff knowledge.

In addition, the caretaker and board of management for each reserve was consulted prior to the finalisation of the inspection zones.

### 2.3.3 Field Testing

Some inspections zones, particularly in reserves, have also been further refined through field testing. Field testing involved observation of the site occupancy by pedestrians, vehicles and built form across multiple locations within the Litchfield Council.

The site occupancy recorded in the field is then compared to the base map and where there were inconsistencies the inspection zone value will be reevaluated.



## 3. Tree Risk Assessment Types and Methods

### 3.1 Assessment Methods

Arborists' use a diverse range of tree risk assessment methods (Norris 2007) and a specific method is not advocated. Regardless of the tree risk assessment method used, defining the level of acceptable risk and maintaining consistency between assessors is important.

Undertaking a training program can assist in ensuring all tree assessors are competent and help maintain consistency between them.

The following tree risk assessment methods are both target based and notable for offering training programs and licensed user accreditation:

- Quantified Tree Risk Assessment (QTRA).
- Tree Risk Assessment Qualification (TRAQ).

#### 3.1.1 Recommended method

TRAQ is the recommended assessment method for use as part of this plan. TRAQ is a qualitative tree risk assessment method which was released in 2011 by the International Society for Arboriculture (ISA). It provides a systematic and defensible approach to the management of risk associated with trees to a reasonable level. Arborists become qualified in the use of TRAQ through robust instructor led training and accreditation, the qualification is maintained every five years.

As part of the TRAQ model, ISA has developed a Best Management Practice (BMP) Manual (v2). The BMP Manual is a tool to guide a consistent approach to tree risk assessment and evaluation, and the application of recommended measures to achieve an acceptable level of risk.

### 3.2 Defining Acceptable Levels of Risk

All trees within striking range of a target present some level of risk. Defining an acceptable level of risk is an important prerequisite to undertaking tree risk assessments. Depending on the assessment method used, levels of risk are either defined using qualitative (categories) or quantitative (percentages, probabilities) information.

TRAQ is a qualitative method and uses categories (i.e. Low, Moderate, High and Extreme) which are derived from a risk rating matrix. An acceptable risk threshold needs to be determined by the responsible authority to guide tree management and priorities. For example, where an accepted risk threshold of **Moderate** is determined, works would be required to mitigate the risk of all trees that are assessed with a **High** risk rating.

Risk thresholds may vary dependant on the inspection zone. An example of this is where there is a reduced tolerance to **Moderate** risk level trees in proximity to schools, whereas this level of risk would be accepted in parks.

### 3.3 Assessment Types

There is a range of tree assessment types which can be applied to management of tree populations (Dunster et al. 2013). These include the followings techniques:

#### 3.3.1 Drive-by Assessments

These are the least detailed tree inspection method where trees are inspected visually from within a vehicle. This will generally only identify trees with major obvious faults or advanced decline from one viewing plane (i.e. the back of the tree cannot be observed whilst travelling along a road).





Drive-by assessments are an effective method of surveying large tree populations where it is acceptable to have a low quantity of data captured for each tree (Rooney et al 2015). Given the rural nature of the Litchfield municipality, drive-by inspections are an effective method of inspection for trees located in Zone 2 to 3. This is dependent on the land use type, with drive-by assessments applicable only to road reserves in Zones 2.

Drive-by assessments can be used in Zone 2 as an effective screening method to help determine which trees require a higher level of inspection. For example, a drive-by assessment of a Zone 2 road may identify a section where all the trees are in poor health and holding large sections of deadwood; in this circumstance a walkover inspection of this area may be instigated, and a section updated to Zone 1 for future assessments.

Following tropical cyclones and severe storms broad scale drive-by assessments should be undertaken to identify trees with high failure potential. Tree inspections should be integrated with other urban forestry and risk mitigation works (Integrated Tree Management).

### **3.3.2 Walkover Assessments**

The walkover method entails visually inspecting all trees within a designated area but only capturing and recording data for those trees posing a risk or requiring works.

In Litchfield Council, walkover assessments are applicable to Zone 2 and 3. Walkover assessments are useful in areas with large tree populations such as low use sections of parks or trees along moderate or low use roads.

Walkover assessments are an effective method of identifying trees with a high failure potential but also minimising expenditure on high volume data collection.

### **3.3.3 Individual Tree Assessments**

This is the next most intensive and detailed inspection method, where every individual tree is visually assessed. Data including a photograph is captured for each tree. Individual tree assessments are used for tree populations in high occupancy areas such as the CBD or outside hospitals and schools. In Litchfield Council, individual tree assessments are applicable to Zone 1 and Zone 2.

In addition to undertaking a risk assessment, data on the health and structure of the tree is collected. Collecting tree health and structure data allows for long term monitoring of the condition of trees and provides the opportunity to undertake phased risk mitigation works.

### **3.3.4 Diagnostic Tests**

This style of inspection is the most intensive available. This level of inspection is generally reserved for significant trees which have a cultural, heritage, aesthetic or ecological significance or for trees in high use areas where observable faults require additional information.

Diagnostic testing result as a recommendation from individual tree assessments and include works such as aerial (climbing) inspections, non-destructive decay testing and root crown investigations.

### **3.3.5 Quantity of Data Capture and Cost**

Tree assessment types vary in the amount of data captured per tree. The less information captured the lower the cost per tree assessed (Figure 12). Increasing the quantity of data capture has the benefit of improving the detection rate of structural defects. For a broad scale tree risk management plan to be effective in mitigating tree risk and optimising resource allocation it is necessary to apply tree assessment methods which are appropriate to the inspection zone.

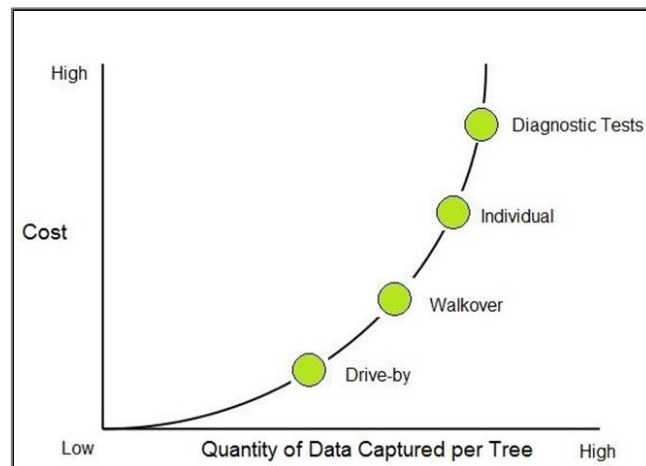


Figure 12: Cost vs quantity of data captured per tree for each assessment type

### 3.4 Data Collection and Management

It is envisaged that all tree assessments conducted by Council will be captured digitally and stored within Litchfield Council’s existing databases.

#### 3.4.1 Software

Adoption of specifically designed tree inventory software is recommended to allow for the efficient management and reporting of captured tree data and works. Any tree inventory software adopted must be able to fully integrate into Litchfield’s existing databases.

Software should be spatial, multi-relational, interactive, easily maintained and allow for mass updating. Web-based software is valuable as it allows for live view and data to be maintained on-ground. In addition, to ensure Litchfield’s tree population is accurately reflected, data should be maintained on a regular basis, e.g. monthly, subsequent to tree works or removal, by a dedicated Council staff member.

The database should allow for two data sets:

1. Drive-by and Walkover Assessments
2. Individual Tree Assessments

<b>Data structure for Drive-by and Walkover Assessments</b>	Feature class Polyline / Polygon
Data structure for Individual Tree Assessments	Feature class Point
Parent - Tree	Location Botanical name
Child 1 - Inspections	Dimensions Trunk diameter Condition Recommended works Risk Assessment Digital Photograph

### 3.4.2 Hardware

The hardware used to capture the data is not considered a critical component of this document, however it should consider the following:

- Ruggedised
- Lightweight
- Long battery life
- Mobile internet connection
- Ability to integrate and connect with Litchfield Council's systems and databases

### 3.4.3 Assessment Tools for Drive-by and Walkover Assessments

The following information must be collected for each drive-by or walkover assessment.

- Date of assessment.
- Name of assessor.
- Name of road or park being assessed.
- Area or segment assessed (e.g. road or park polygon).

For example, a walkover assessment conducted within a park would need to record what area the inspector had assessed. If during this inspection an individual tree of concern was identified, then an Individual Tree Assessment would be conducted. It may also be useful to track the route walked / driven. Figure 13 shows this information spatially.

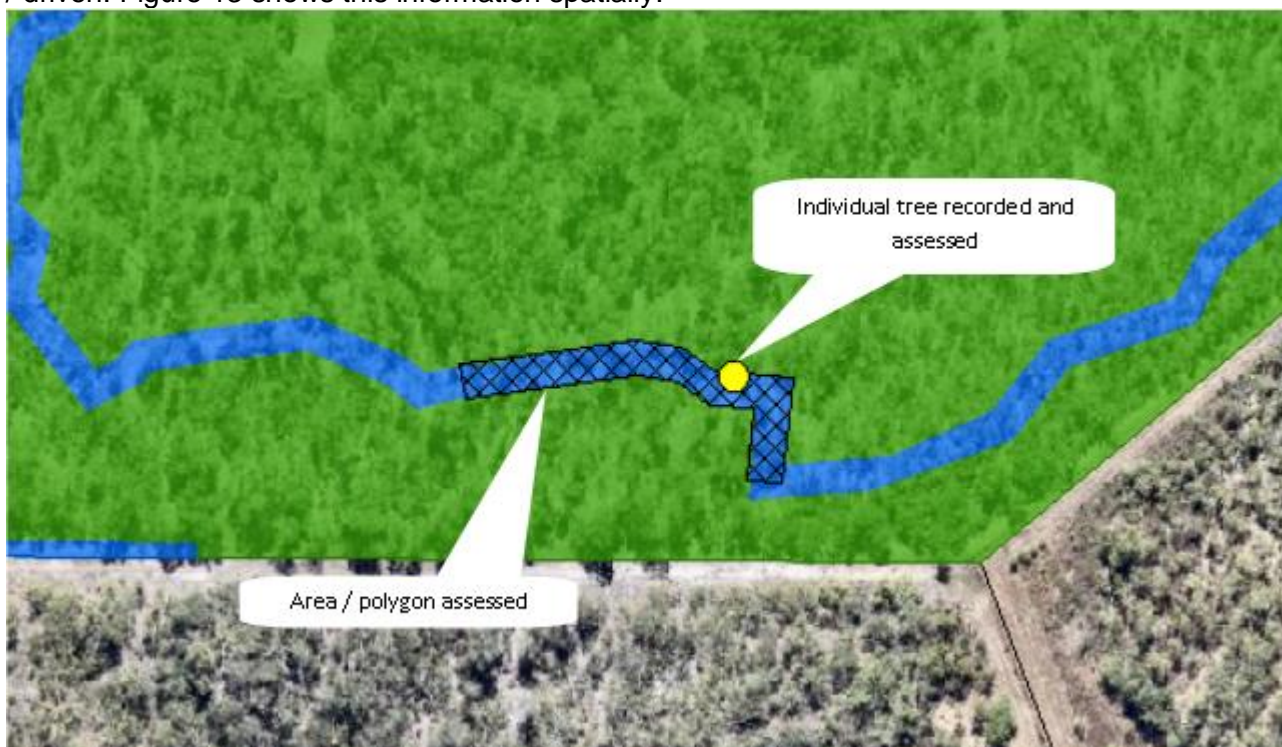


Figure 13: Example of spatial data for a Zone 3 (blue) walkover assessment in a reserve, where an individual tree has also been recorded as part of the assessment.



### 3.4.4 Assessment Tools for Individual Tree Assessments

When an individual tree assessment is conducted, the following information should be recorded.

Table 3. Individual Tree Data Collection Fields

Data Collection Field	Data Descriptions	Entry Type
Asset ID	Unique Number Auto generate on creation	Auto
GIS Ref	Automatic capture using DGPS Easting/Northing, Lat/Long	Auto
Street Planted	Street or park that the tree is planted in	Field entry
Property Address	Address of the closest adjacent property	Auto
Nature Strip Width	<1, 1-2, 2-4, 4+, centre median, parkland etc	Field entry
Botanical Name	Genus and species of the surveyed tree	Field entry
Common Name	Common Name of the surveyed tree	Post process
Digital Photography	Image of tree	Field entry
inspection Zone	1, 2, 3, 4	Auto Field entry update
<b>Tree Condition</b>		
Tree Age	Young Semi mature Mature Over mature-senescent	Field entry
DBH	Trunk diameter estimated	Field entry
Height	Tree height estimated	Field entry
Width	Tree width estimated	Field entry
Health	Good Fair Poor Very Poor Dead	Field entry
Structure	Good Fair Poor Very poor Failed	Field entry
Powerlines	High Voltage Low Voltage Aerial Bundled Cable (HV) Aerial Bundled Cable (LV) Service Wire Other None	Field entry
ULE	0 years 1 to 5 years 5 to 10 years 10 to 20 years	Field entry



Data Collection Field	Data Descriptions	Entry Type
	20+ years	
<b>Tree Risk Rating</b>		
Failure Potential	Risk assessment model QTRA or TRAQ	Field entry
Failure Size	Risk assessment model QTRA or TRAQ	Field entry
Target Rating	Risk assessment model QTRA or TRAQ	Field entry
Risk Score	Automatically calculated in the field	Auto entry
Works Required	Canopy lift Formative prune Dead wood removal Risk reduction - Category 1, 2, 3 Clearance pruning Co-dominant management Remove tree Exclude targets No works required	Field entry
Works Priority	Urgent Very High High Moderate Low None	Field entry
Defects	Identification of health or structural defects	Field entry
Comments	Additional comments are recorded if required.	Field entry

### 3.4.5 Assessors Qualifications

Effective tree risk assessment requires the assessor to be suitably qualified and experienced. The following level of qualification and experience is recommended for tree assessors undertaking risk assessments for Litchfield Council:

- Diploma of Horticulture (Arboriculture), AQF Level 5.
- During the course of obtaining their diploma the tree assessor must have completed the unit of competency AHCARB501A – Assess Trees.
- A minimum of 3 years' experience at an arboricultural consultancy which has included tree risk assessment.
- Where a tree risk assessment method with a licensed user accreditation is used then the tree assessor must hold this certification (e.g. QTRA, TRAQ).

### 3.4.6 Unscheduled Hazard Identification

Unqualified<sup>[1]</sup> Council staff may be able to identify tree hazards during their regular day to day work. Council staff undertaking unscheduled identification of tree hazards must have experience in the field of parks, natural resource management or similar; and must have undertaken informal tree

<sup>[1]</sup> Unqualified in the field of arboriculture



hazard identification training e.g. participated in a workshop run by a suitably qualified arborist to identify obvious defects such as trees that have up-rooted and have fallen / failed or are in imminent danger of falling, trees that have a major branch or canopy failure. The purpose of the workshop is to ensure hazards that present an immediate risk are effectively identified and managed. Subsequent walkover, drive-by or individual tree assessments must be undertaken by a qualified arborist.

### 3.4.7 Recommend Inspection Types and Frequencies

The use of a target-based risk assessment method provides a mechanism to optimise the allocation of resources for tree inspection to produce the best outcomes in terms of tree risk mitigation and expenditure.

More frequent and detailed tree inspections should be undertaken in inspection zones which have a high occupancy by people, vehicular traffic and built form. In comparison, fewer resources should be allocated to inspection zones which have a low occupancy. In low occupancy inspection zones less frequent and detailed tree inspection methods are applicable.

For the Litchfield Council recommended tree assessment methods and frequencies are provided for each inspection zone (Table 1).

Table 4: Recommended assessment types and frequencies for each inspection zone in the Litchfield Council.

Inspection Zone No.	Inspection Zone Category	Assessment Type	Frequency of Inspection
1	High	Individual tree assessment	Annual
2	Moderate	Walkover assessment Drive-by assessment ( <b>road reserves only</b> )	2 years
3	Low	Walkover assessment Drive-by assessment	5 years
4	Very Low	Reactive ONLY	N/A

As shown in Table 5, it is envisaged that each year of the program will focus on assessing different inspection zones. This is largely dependent on resources.

Table 5: An example of the assessment requirements for the first eight years of the program

	Zone 1	Zone 2	Zone 3	Zone 4
Year 1	x			Reactive only
Year 2	x	x		
Year 3	x		x	
Year 4	x	x		
Year 5	x			
Year 6	x	x		
Year 7	x			
Year 8			x	



### 3.4.8 Reactive Works

From time to time, reactive works may be requested in any of the zones, either as a result of a community request or a severe weather event.

For Emergency Response procedures see Section 5.3.

To allow queries to be dealt with efficiently, it would be useful to standardise information collected at the first point of contact via customer care staff e.g. standard form / process.

Where a member of the community reports a tree failure or hazard actions and timeframes are recommended below (Table 6).

Table 6: Recommended response timeframes

Action	Details	Timeframe	
		Zone 1 and 2	Zone 3 and 4
Verbal response	A follow up phone call may be necessary to determine the hazard involved and keep the customer informed. Where a complaint is made within either Zone 1 or 2, useful information may also be able to be sourced from the tree inventory (once established) e.g. species, size, previous works, defects etc, to assist with the management of the query.	Within 24 hours	Within 5 days
Site visit	A site visit should be undertaken by an appropriate Council staff member to undertake initial hazard identification (refer to section 3.4.6). Where necessary, a qualified arborist may also be required, subject to the location, size or significance of the tree. This site visit, including the action required (if any) to resolve the complaint or hazard should be documented either in the tree inventory database or in a Council consultation management database.	Within 48 hours from original request	Within 5 days from original request
Tree works	Once a tree risk methodology is adopted, timeframes for undertaking recommended works could be determined based on Council accepted risk thresholds. Timeframes for undertaking tree works will differ based on the level of risk determined by the assessment. For example, where there is a high level of risk works must be completed within 3 months, where there is a low or very low level of risk, works will only be completed if resources allow.	As per arborist recommendations or accepted risk thresholds	



## 4. Monitoring and Improvements

### 4.1 Auditing

Assessment of risk can vary widely between individual tree assessors (Norris 2007).

To ensure there is consistency in identification of tree defects and evaluating probability of failure the following auditing measures are recommended:

- Auditing of risk assessments is undertaken by a senior arborist within the contracted arboricultural consultancy.
- In the initial 6 months of implementing the tree risk management plan, 5% of risk assessments should be audited on a fortnightly basis (twice a month).
- In subsequent years 5% of risk assessments are audited every 6 - 12 months.

In addition, benchmarks or case studies are an effective way of ensuring tree risk assessment maintains scientific rigor (Stewart et al 2013). Tree risk assessors should be provided with examples by which to calibrate their assessments.

### 4.2 Feedback

Measures should be undertaken to ensure continual improvement of the inspection zones and refine the inspection zone categories and descriptions.

The following feedback processes are recommended:

- Tree risk assessors should evaluate the inspection zone whilst undertaking tree risk assessments. For this to occur, tree assessors must be familiar with inspection zone descriptors (Section 9) and the categorised inspection zone must auto-populate in the field collection form.
- Whilst undertaking a risk assessment, tree assessors should evaluate whether the existing inspection zone is representative of the observed target occupancy. Where they disagree with the existing zoning, then this field can be updated on site.
- The onsite inspection zone should then be compared against the mapped inspection zone using spatial systems to identify areas of difference. In addition, mapping of zones can be improved through analysing the 'target rating' of individual tree data as assessed on the ground.
- Where mapped zones are consistently different from the onsite data, the senior arborist / arboricultural team leader or an independent consultant should review the mapping of the zones in that area.

## 5. Integrated Tree Management

### 5.1 Tree Planting Program

Tree species differ in their ability to compartmentalise decay (Shigo & Marx 1977), tolerance to root damage (Matheny & Clark 1998) and propensity to form bark inclusions and other structural defects (Lonsdale 1999). Species which have a tendency to produce trees that have a poor structure at maturity should be identified and excluded from the planting schedule.

The quality of nursery stock and planting technique can have significant consequences on the development of tree root systems and therefore their structural stability. Planting of new trees





should be undertaken by suitably qualified arborists in accordance with Australian Standards (AS 2303-2015 Tree stock for landscape use).

## 5.2 Tree Pruning and Maintenance Program

Routine pruning of trees for clearance from roads, footpaths, buildings or overhead services should be integrated within the tree risk assessment program. Undertaking canopy maintenance and risk management works simultaneously will reduce the expense associated with tree management.

The following procedures are recommended for trees which are subject to regular canopy maintenance pruning:

- Tree risk assessment is undertaken prior to commencement of the pruning cycle.
- Tree risk management works which fall outside of the parameters of normal canopy maintenance are identified; such works could include tree removal, co-dominant stem reduction and risk reduction pruning.
- Canopy maintenance works are undertaken at the same time as undertaking tree risk management works.

## 5.3 Emergency Response Program

High winds experienced during storms can severely damage trees, causing damage to trunks, branches and causing root plate failures (Escobedo et al. 2013). Following severe storms and tropical cyclones, risk assessment of trees should be integrated into existing emergency response procedures.

The following processes are recommended:

- Following a high wind event (greater than 6 on the Beaufort Wind Scale), broad-scale hazard identification should be undertaken. As per Section 3.4.6, initial hazard identification that forms part of emergency response may be undertaken by an unqualified Council staff member to identify tree defects which pose an immediate risk.
- During this hazard identification, areas that have been significantly impacted may be identified for a subsequent walkover or drive-by inspection. All subsequent inspections must be undertaken by a qualified arborist and should be prioritised by inspection zone e.g. Zone 1 should be prioritised.
- Following severe storms and tropical cyclones (sustained winds greater than 7, or gusts greater than 9 on the Beaufort Wind Scale), a walkover or drive-by inspection must be undertaken by a qualified arborist within all areas of Zone 1.

## 5.4 Events

Where either major scheduled or one-off events are held, trees should have been assessed within the previous three months, with any recommended works undertaken within timeframes provided.

It is recommended that scheduled assessments, as per Table 4, align with major events. For example, Fred's Pass Rural Show is held annually in mid-May, ideally assessments within Zone 1 should be scheduled to occur from mid-February to April each year.

With either major scheduled or one-off events, where tree inspections have not occurred within the three months prior, a walkover inspection by a qualified arborist is recommended before the event takes place.



## 6. Recommendations

Once zoning is finalised, the following actions are recommended to implement the Litchfield Council - Tree Risk Management Plan:

1. Confirm the use of a tree risk assessment methodology (TRAQ or QTRA) and determine the accepted risk threshold.
2. Quantify resources required to implement the management plan (e.g. staff / consultant resources to implement, monitor and maintain, hardware, software).
3. Undertake a pilot program. This will enable the efficient collection of tree data through on ground trial / error. Pilot programs usually involve 1-2 weeks of data collection depending on the scale of the program.
4. Refine inspection methodology, zoning, hardware and software requirements.
5. Commence tree inspections as per finalised zoning and inspection frequencies Table 4.
6. Ongoing management and maintenance of tree inventory database. All works should be updated in the Council tree inventory database as they occur.
7. Ongoing inspections as per zoning and inspection frequencies Table 4.



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## Appendix 1. Summary of Zones and Inspection Frequency

Table 7: Summary of Zones and Inspection Frequency

Inspection Zone No.	Inspection Zone Category	Usage	Description	Inspection Method	Inspection Frequency
<b>Zone 1</b>	<b>High</b>	High use areas with an average target occupancy of more than: <ul style="list-style-type: none"> <li>8 people per hour, or</li> <li>20 vehicles per hour.</li> </ul>	<ul style="list-style-type: none"> <li>Main thoroughfares, emergency access routes, medical &amp; emergency facilities</li> <li>High use recreation areas - near playgrounds, picnic areas, permanent structures, some areas surrounding schools and community facilities.</li> <li>Neighbourhoods with a high number of 'problematic' trees.</li> <li>High density urban areas (40-50km zones / footpaths, blocks up to 0.5 hectare).</li> <li>Road types generally include Urban Local, and some Rural Arterial and Rural Local roads.</li> </ul>	Individual tree assessments	Annual
<b>Zone 2</b>	<b>Moderate</b>	Moderate-use areas with an average target occupancy of: <ul style="list-style-type: none"> <li>2-8 pedestrians per hour, or</li> <li>2 – 20 vehicles per hour.</li> </ul>	<ul style="list-style-type: none"> <li>Moderate use reserves, playgrounds, parking lots, bus stops,</li> <li>Secondary thoroughfares, bus stops, parking lots, and some areas surrounding schools and community facilities,</li> <li>Moderate-density residential road reserves (e.g. 60-70km zones, blocks up to 5ha). Road types generally include Urban Local , Rural Arterial or Rural Collector roads.</li> </ul>	Walkover assessment Drive-by assessment (road reserves only)	2 years
<b>Zone 3</b>	<b>Low</b>	Low-use areas with an average target occupancy of: <ul style="list-style-type: none"> <li>1 person per hour to 1 person per day, or</li> <li>1 vehicle per hour to 5 vehicles per day.</li> </ul>	<ul style="list-style-type: none"> <li>Rural road reserves (e.g. agricultural and industrial areas, 80+km zones). Road types generally include Rural Local roads.</li> <li>Public areas with dispersed recreation, walking trails within reserves.</li> </ul>	Walkover assessment Drive-by assessment	5 years
<b>Zone 4</b>	<b>Very Low</b>	Very-low use or inaccessible areas with an average target occupancy of less than: <ul style="list-style-type: none"> <li>1 person per day, or</li> <li>5 vehicles per day.</li> </ul>	<ul style="list-style-type: none"> <li>Bushland areas within reserves.</li> <li>Council maintained drainage easements, fire breaks, inaccessible land, riparian zones, open areas with limited access or use.</li> <li>Developing or recently developed areas with young trees.</li> <li>Rural road reserves (e.g. 4WD / dirt tracks, no through roads, historic roads, proposed roads). Road types generally include Rural Local roads.</li> </ul>	Reactive ONLY	NA



# **Litchfield Council Tree Risk Management Plan**

Internal audit of implementation progress

## Introduction

As part of Councils risk management framework and internal audit plan, a review has been conducted on the implementation of Councils Tree Risk Management Plan (TRMP) which was developed in 2019 (Appendix A). The audit should identify if processes have been sufficiently established and are followed to mitigate risk to Council. Key recommendations resulting from this internal audit are:

- Council to purchase tree risk management software and hardware
- Council to continue to engage suitably qualified and experienced tree assessors to undertake risk assessments.
- Council to review inspection zones on a biannual basis or when occupancy rate changes.
- Council to implement informal tree hazard training for MWF team

## Background

In 2019 Council commissioned Remote Area Tree Services in association with Homewood Pty Ltd to provide a target-based tree risk management plan. The resulting plan provides mapped inspections zones based on pedestrian and vehicle usage. Four inspection zones were identified from high usage (Zone 1) to very low target usage (Zone 4). Recommended tree inspection types and frequencies vary for each inspection zone.

Council has a duty of care to ensure the safety of the general public and public assets and infrastructure. The Tree Risk Management Plans outlines the requirements for risk management of trees throughout the Municipality.

Following the completion of the TRMP Council created the position of Cemetery and Parks Program Leader with the mandate to manage the implementation of the plan.

The Cemetery and Parks Program Leader holds the qualification of a Level 8 Arborist and has 30 years arboriculture experience. It was deemed that he possessed the relevant qualifications and independence from the plan to conduct the audit having spent 18 months implementing the plan.

## Scope of Work

The remit for this internal audit was to gauge the level of implementation of the plan and subsequently the success to which Council is managing tree risk upon Council controlled land. The TRMP made seven key recommendations however these were supported by a number of key clauses throughout the document.

In conducting the audit, the key clauses and criteria as well as recommendations from the Management Plan were identified and tabulated. The findings table attached provides the current status and proposes recommendations to ensure Council is meeting its obligations and managing the risks related to trees in the Council area.

## Conclusion and Key Findings

Overall Council is making good progress on the implementation of the Plan. The employment of a Level 8 arborist in the position of Cemetery and Parks Program Leader exemplifies Councils commitment to managing the tree risk throughout the Municipality.

Given the rural and highly vegetated nature of the Litchfield Council land the purchase of tree management software and hardware will significantly increase Councils ability to manage tree risk in the Municipality.

Suitable tree risk management software will realise the following benefits:

- The building of a database of historic information to allow council to
  - better manage risks
  - determine inspection zone frequencies
  - provide detailed data in the event of insurance claims
- Council will be better able to consistently meet assessment criteria for tree inspections and maintenance
- Allow secure cloud access to contractors and Officers to input data real time on site.

The recommendations identified in the detailed findings can be summarised in the response to the seven key recommendations identified in the TRMP and Councils current response to their implementation below.

1. *Confirm the use of a tree risk assessment methodology (TRAQ or QTRA) and determine the accepted risk threshold.*

As per the recommendations within the TRMP Litchfield Council will use the identified inspection zoning.

Assessments are currently conducted by the Cemetery and Parks Program Leader and suitably qualified contractors where required. By accepting a variety of accepted risk assessment methodologies that are compatible with tree management software Council retains flexibility to engage a variety of contractors whilst maintaining a comprehensive database of tree information.

2. *Quantify resources required to implement the management plan (e.g., staff / consultant resources to implement, monitor and maintain, hardware, software).*

Litchfield Council does not have any in-house data collection software for tree assessment.

Litchfield Council undertake tree assessment either through their internal qualified arborist or through an arboricultural consultant as per the TRMP.

Under the TRMP recommendations Council would be required to purchase software & hardware or engage contractor with shared software.

Software packages cost are generally either a one-off establishment fee plus yearly licencing or a one-off fee with either on-going maintenance costs or IT support requirements.

One-off establishment fee starts from around \$10K plus yearly licencing starting from around \$5K or a one-off fee start from around \$20K with either on-going maintenance costs or IT support requirements.

Tree Risk Management software packages are generally a standalone package separate from integrating Council systems.

Alternately Council could seek to secure a period contract where an arboriculture company include the provisions of arboricultural assessment and reporting within the schedule of rates.

3. *Undertake a pilot program. This will enable the efficient collection of tree data through on ground trial / error. Pilot programs usually involve 1-2 weeks of data collection depending on the scale of the program.*

The instigation of a pilot program has not undertaken as no internal software has been purchased.

4. *Refine inspection methodology, zoning, hardware and software requirements.*

Council has adopted the inspection methodology and zoning recommendations.

Recommended TRMP inspection zones are currently used and reviewed when occupancy or probability risk rate changes.

*5. Commence tree inspections as per finalised zoning and inspection frequencies Table*

The Tree Risk Management Plan recommended inspection zones and frequencies are currently used.

*6. Ongoing management and maintenance of tree inventory database. All works should be updated in the Council tree inventory database as they occur.*

Individual Tree Assessments are only undertaken within Zone 1 and Zone 2 with data on the health and structure of the tree only undertaken by the consulting arborist.

*7. Ongoing inspections as per zoning and inspection frequencies Table 4 (TRMP).*

The recommended inspection zones and frequencies are currently used. Inspection zones should be reviewed on a biennial basis or when occupancy rate changes



## Detailed Findings and Recommendations

Section	Title	Recommendation	Current status	Recommendation
3.1.1	Recommended Method	TRAQ is the recommended assessment method for use as part of this plan.	Currently use either method of TRAQ or QTRA	Continue using a recognised Tree risk assessment methodology.
3.3.1	Drive-by Assessments	Following tropical cyclones and severe storms broad scale drive-by assessments should be undertaken to identify trees with high failure potential. Tree inspections should be integrated with other urban forestry and risk mitigation works (Integrated Tree Management).	Council has employed a Level 8 qualified arborist (Cemetery and Parks Program Leader) to implement recommendations from the TRMP.	Continue to employ suitably qualified arborist to implement the TRMP. Support implementation through the purchase of industry standard software and hardware
3.4.1	Software	Adoption of a specifically designed tree inventory software is recommended to allow for the efficient management and reporting of captured tree data & works.	Data collected manually via inhouse diary entries, word documents, customer requests (CRM) entries or arboriculture consultant reports stored in Council ERDMS. Council is currently reliant on consultant tree management software using recommended assessment methods.  Grant application submitted	Purchase of industry standard software and hardware.
3.4.1	Software	To ensure Litchfield's tree population is accurately reflected, data should be maintained on a regular basis and allow for two data sets (Drive-by and walkover assessments, individual tree assessments)	Council has employed a Level 8 qualified arborist (Cemetery and Parks Program Leader) to implement recommendations from the TRMP.	Continue to employ suitably qualified arborist to implement the TRMP. Support implementation through the purchase of industry standard software and hardware

Section	Title	Recommendation	Current status	Recommendation
3.4.3	Assessment Tools for Drive-by and Walkover Assessments	<p>The following information must be collected for each drive-by or walkover assessment:</p> <ul style="list-style-type: none"> <li>• Date of assessment</li> <li>• Named of assessor</li> <li>• Name of road or park being assessed</li> <li>• Area or segment assessed (e.g., road or park polygon)</li> </ul>	Diary entries, Words documents, CRM entries or Arboriculture consultant report	Continue to use current assessment reporting methods until purchase of assessment software & hardware.
3.4.4	Assessment Tools for Individual Tree Assessments	Collection of data as per table provided in table 3 of the TRMP (page 20)	Data collected manually via inhouse diary entries, word documents, customer requests (CRM) entries or arboriculture consultant reports stored in Council ERDMS. Council is currently reliant on consultant tree management software using recommended assessment methods.	Continue to use current assessment reporting methods until purchase of assessment software & hardware.

Section	Title	Recommendation	Current status	Recommendation
3.4.5	Assessors Qualifications	<p>Effective tree risk assessment requires the assessor to be suitably qualified and experienced. The following level of qualification and experience is recommended for tree assessors undertaking risk assessments for Litchfield Council:</p> <ul style="list-style-type: none"> <li>• Diploma of Horticulture (Arboriculture), AQF Level 5.</li> <li>• During the course of obtaining their diploma the tree assessor must have completed the unit of competency AHCARB501A – Assess Trees.</li> <li>• A minimum of 3 years’ experience at an arboriculture consultancy which has included tree risk assessment.</li> <li>• Where a tree risk assessment method with a licensed user accreditation is used then the tree assessor must hold this certification (e.g., QTRA, TRAQ).</li> </ul>	<p>Council has employed a Level 8 qualified arborist (Cemetery and Parks Program Leader) to implement recommendations from the TRMP.</p> <p>Suitably qualified and experienced tree assessors engaged to undertake risk assessments for Litchfield Council.</p>	<p>Continue to engage suitably qualified and experienced tree assessors to undertake risk assessments.</p>
3.4.6	Unscheduled Hazard Identification	<p>Council staff undertaking unscheduled identification of tree hazards must have experience in the field of parks, natural resource management or similar; and must have undertaken informal tree hazard identification training.</p>	<p>Council has employed a Level 8 qualified arborist (Cemetery and Parks Program Leader) to implement recommendations from the TRMP.</p> <p>MWF Program Leader has extensive experience in natural resource management.</p>	<p>Implement informal tree hazard training for MWF team</p>
3.4.7	Recommend Inspection Types and Frequencies	<p>Ongoing inspections as per zoning and inspection frequencies within Table 4 (page 22) of the TRMP.</p>	<p>Recommended TRMP inspection zones currently used.</p>	<p>Review inspection zones on a biannual basis or when occupancy rate changes.</p>

Section	Title	Recommendation	Current status	Recommendation
3.4.8	Reactive Works	Where a member of the community reports a tree failure or hazard, actions and timeframes are recommended in Table 6 of the TRMP (page 23).	Tree failure or hazard are logged into Council's CRM and addressed as per Litchfield Council's customer service response requirements. Reactive response is addressed on the location of the tree, occupancy rate (zone) and tree defect/s. Tree maybe initially identified by unqualified council staff and referred to a qualified arborist for further assessment.	Determine where the tree is located based on zone location. Ensure a standardised reporting form/ process is undertaken by Customer service. Undertake workshops for unqualified council staff to identify tree hazards. Establish a tree inventory to assist with the management of the query.

Section	Title	Recommendation	Current status	Recommendation
4.1	Auditing	<p>To ensure there is consistency in identification of tree defects and evaluating probability of failure the following auditing measures are recommended:</p> <ul style="list-style-type: none"> <li>• Auditing of risk assessments is undertaken by a senior arborist within the contracted arboriculture consultancy.</li> <li>• In the initial 6 months of implementing the tree risk management plan, 5% of risk assessments should be audited on a fortnightly basis (twice a month)</li> <li>• In subsequent years 5% of risk assessments are audited every 6 - 12 months.</li> </ul>	<p>Tree risk assessments is undertaken by a Cemetery and Parks Program Leader using a preferred tree risk assessment methodology (TRAQ or QTRA) and determine the accepted risk threshold. Arboriculture consultants are engaged on a “as need basis” to support Cemetery and Parks Program Leader.</p>	<p>Following the initial 6 months of implementing the tree risk management plan, 5% of risk assessments should be audited over the 6-month period. Auditing of risk assessments should be undertaken by a qualified Council arborist or an independent qualified tree risk assessor.</p> <p>In subsequent years 5% of risk assessments will be audited every 6 - 12 months for the duration of the period contract.</p> <p>The same auditing process should occur following subsequent period arboriculture contract appointment.</p>
4.2	Feedback	<p>Tree risk assessors should evaluate the inspection zone whilst undertaking tree risk assessments. For this to occur, tree assessors must be familiar with inspection zone descriptors (Section 9) and the categorised inspection zone must auto-populate in the field collection form.</p>	<p>Tree risk assessors are familiar with inspection zone descriptors. The tree risk assessor will observe if target occupancy is representative of the existing inspection zone &amp; using a preferred tree risk assessment methodology will determine the rate of occupancy within the trees assessment.</p>	<p>Review mapping of zones in each area on an annual seasonal basis, based on the zone descriptor. Senior arborist / arboriculture team leader or an independent consultant to liaise with Council &amp; user groups and collaborate council data and updates of significant events and occupancy rate to determine changes to mapping zones.</p>

Section	Title	Recommendation	Current status	Recommendation
4.2	Feedback	The onsite inspection zone should then be compared against the mapped inspection zone using spatial systems to identify areas of difference. In addition, mapping of zones can be improved through analysing the 'target rating' of individual tree data as assessed on the ground.	Should the inspecting assessor determine that the inspection zone occupancy is higher or lower than the descriptor then this is reflected within the individual tree assessment.	Amend zone category based on usage rating reflective within each inspection zone descriptor.
4.2	Feedback	Where mapped zones are consistently different from the onsite data, the senior arborist / arboriculture team leader or an independent consultant should review the mapping of the zones in that area.	<p>The tree risk assessor will observe if target occupancy is representative of the existing inspection zone &amp; using a preferred tree risk assessment methodology will determine the rate of occupancy within the trees assessment.</p> <p>Should the inspecting assessor determine that the inspection zone occupancy is higher or lower than the descriptor then this is reflected within the individual tree assessment.</p>	Review mapping of zones in each area on an annual seasonal basis, based on the zone descriptor. Senior arborist / arboriculture team leader or an independent consultant to liaise with Council & user groups and collaborate council data and updates of significant events and occupancy rate to determine changes to mapping zones.

Section	Title	Recommendation	Current status	Recommendation
5.1	Tree Planting Program	Planting of new trees should be undertaken by suitably qualified arborists in accordance with Australian Standards.	Tree planting shall be undertaken and/or overseen by a qualified Arborist or Horticulturalist with the relevant experience or qualifications in accordance with Australian Standards.	Engage qualified Arborist or Horticulturalist with the relevant experience or qualifications. Consult with user groups to ensure that tree planting shall be undertaken and/or overseen by a qualified Arborist or Horticulturalist with the relevant experience or qualifications in accordance with Australian Standards.
5.2	Tree Pruning and Maintenance Program	Tree risk assessment is undertaken prior to commencement of the pruning cycle.	Tree risk assessment is undertaken prior to commencement of the pruning cycle.	Ensure tree risk assessment using drive by process is undertaken prior to commencement of the cyclone season and reviewed post cyclone season.
5.2	Tree Pruning and Maintenance Program	Tree risk management works which fall outside of the parameters of normal canopy maintenance are identified; such works could include tree removal, co-dominant stem reduction and risk reduction pruning.	Tree risk management works which fall outside of the parameters of normal canopy maintenance are identified; such works includes tree removal, co-dominant stem reduction and risk reduction pruning. Canopy maintenance works are undertaken at the same time as undertaking tree risk management works.	Data to be collected using tree assessment software or engage contractor with shared software program.
5.2	Tree Pruning and Maintenance Program	Canopy maintenance works are undertaken at the same time as undertaking tree risk management works.	Undertaking reactive and proactive canopy maintenance based on reported trees	Business as usual coordinate with maintenance works where feasible.

Section	Title	Recommendation	Current status	Recommendation
5.3	Emergency Response Program	Following a high wind event (greater than six on the Beaufort Wind Scale), broad-scale hazard identification should be undertaken. As per Section 3.4.6, initial hazard identification that forms part of emergency response may be undertaken by an unqualified Council staff member to identify tree defects which pose an immediate risk.	Unqualified council staff will identify obvious risk and will action to mitigate further risk or refer to a qualified council arborist or external qualified arboriculture consultant/contractor.	Implement informal tree hazard training for MWF teams.  Engage qualified Arborists with the relevant experience or qualifications in the absence of MWF availability.
5.3	Emergency Response Program	During this hazard identification, areas that have been significantly impacted may be identified for a subsequent walkover or drive-by inspection. All subsequent inspections must be undertaken by a qualified arborist and should be prioritised by inspection zone e.g., Zone 1 should be prioritised.	Where required areas that have been significantly impacted should be locked, secured or cordon off to alleviate public assess and risk. All subsequent inspections are undertaken by a qualified arborist and prioritised by inspection zone.	Engage field staff to document, photograph and report tree hazards, risks & associated damage.  Engage qualified Arborists with the relevant experience or qualifications in the absence of MWF availability.
5.3	Emergency Response Program	Following severe storms and tropical cyclones a walkover or drive-by inspection must be undertaken by a qualified arborist within all areas of Zone 1.	Following severe storms and tropical cyclones walkover or drive-by inspection are undertaken by a qualified arborist within all areas of Zone 1	Ensure that public areas and facilities are able to be locked, secured or cordon off to alleviate public assess and risk following severe storms and tropical cyclones damage. Provide advisory signs and public notification that areas are closed or restricted due to tree risks. Engage qualified arborist to undertake walkover or drive-by inspection



Section	Title	Recommendation	Current status	Recommendation
5.4	Events	Scheduled assessments, as per Table 4, align with major events. With either major scheduled or one-off events, where tree inspections have not occurred within the three months prior, a walkover inspection by a qualified arborist is recommended before the event takes place.	Tree risk assessment is undertaken prior to the commencement of the cyclone season and reviewed post cyclone season. Where either a major or one-off event is scheduled a walkover inspection by a qualified arborist will be undertaken & actioned before the event takes place.	Ensure Council engages with user groups to notify of scheduled events and sufficient time frame for inspection and any required risk reduction. Engage a qualified arborist to undertake a walkover inspection before the event takes place
6	Recommendations	Confirm the use of a tree risk assessment methodology (TRAQ or QTRA) and determine the accepted risk threshold.	Currently use either method of TRAQ or QTRA	Continue using a recognise Tree risk assessment methodology
6	Recommendations	Quantify resources required to implement the management plan	Council has employed a Level 8 qualified arborist (Cemetery and Parks Program Leader) to implement recommendations from the TRMP.  Arboriculture consultants used as required. Council is reliant on consultant software.  Grant submitted for purchase of software and hardware	Purchase of industry standard software and hardware.
6	Recommendations	Undertake a pilot program for data collection.	Not undertaken as no internal software Grant submitted for purchase of software and hardware	Purchase of industry standard software and hardware.

Section	Title	Recommendation	Current status	Recommendation
6	Recommendations	Refine inspection methodology, zoning, hardware and software requirements	Recommended TRMP inspection zones currently used and reviewed	Review inspection zones on a biennial basis or when occupancy rate changes
6	Recommendations	Commence tree inspections as per finalised zoning and inspection frequencies Table 4.	Recommended TRMP inspection zones currently used	Review inspection zones on a biennial basis or when occupancy rate changes
6	Recommendations	Ongoing management and maintenance of tree inventory database. Updated in the Council tree inventory database as they occur.	Not implemented. As no internal software reliant on consultant software.  Grant submitted for purchase of software and hardware	Purchase of industry standard software and hardware.
6	Recommendations	Ongoing inspections as per zoning and inspection frequencies Table 4.	Recommended TRMP inspection zones currently used	Review inspection zones on a biannual basis or when occupancy rate changes

## 9. Other Business

## 10. Confidential Items

Pursuant to Section 93 of the Local Government Act and Regulation 51 of Local Government (General) Regulations the meeting be closed to the public to consider the following Confidential Items:

### 10.1 ERP System Upgrade

*Regulation 51(1)(c) – information that would, if publicly disclosed, be likely to:*

- i. cause commercial prejudice to, or confer an unfair commercial advantage on, any person; or*
- ii. prejudice the maintenance or administration of the law; or*
- iii. prejudice the security of the council, it's members or staff; or*
- iv. subject to subregulation (3) – prejudice the interests of the council or some other person;*

### 10.2 ICT Security Audit and Improvement Plan Update

*Regulation 51(1)(c) – information that would, if publicly disclosed, be likely to:*

- v. cause commercial prejudice to, or confer an unfair commercial advantage on, any person; or*
- vi. prejudice the maintenance or administration of the law; or*
- vii. prejudice the security of the council, it's members or staff; or*
- viii. subject to subregulation (3) – prejudice the interests of the council or some other person;*

## 11 Close of Meeting