



# Risk Management and Audit Committee (RMAC) BUSINESS PAPER WEDNESDAY 29/02/2024

Meeting to be held commencing 9:30am  
In the Council Chambers at 7 Bees Creek Road, Freds Pass

A handwritten signature in black ink, appearing to read 'S. Hoyne', written over a faint horizontal line.

**Stephen Hoyne, 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.



## RMAC AGENDA

### LITCHFIELD COUNCIL RMAC MEETING

#### Notice of Meeting

to be held in the Council Chambers, Litchfield  
on Thursday, 29 February 2024 at 9:30am

Stephen Hoyne  
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. Confirmation of Minutes

THAT the full minutes of the open portion of the Risk Management Audit Committee Meeting held Wednesday 25 October 2023, 7 pages, be confirmed.



# RISK MANAGEMENT & AUDIT COMMITTEE

## MINUTES

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### LITCHFIELD COUNCIL COMMITTEE MEETING

Council Chambers, Litchfield

Wednesday, 25 October 2023 at 9:30am

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<b>Present</b>	Iain Summers Greg Arnott Cr Mark Sidey	Chairperson Independent Member Committee Member
<b>Staff</b>	Stephen Hoyne Maxie Smith Rodney Jessup Rebecca Taylor Gayathri Sivaraj Megan Leo	Chief Executive Officer Director Corporate and Community Director Infrastructure and Operations Program Leader Policy and Governance Manager Corporate Services Executive Support
<b>Presenters</b>	Matthew Ward	Partner, KPMG

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#### 1. OPENING OF THE MEETING

The Chairperson, Iain Summers opened the meeting at 9:32am.

#### 2. APOLOGIES AND LEAVE OF ABSENCE

Cr Mathew Salter, Committee Member.  
Mayor Doug Barden, Ex-Officio.

#### 3. DISCLOSURES OF INTEREST

Independent Member, Mr Greg Arnott declared the following disclosure of interest:

- Appointed by East Arnhem Regional Council as Chair of the Audit and Risk Committee.

Chairperson, Mr Iain Summers declared the following disclosures of interest:

- Appointed by the NT Attorney-General as the member of the Prospective Groote Archipelago (formerly Warnindilyakwa) Regional Council, which, if funded, may be established as a separate Regional Council on Groote Eylandt; and
- Chair, Audit Risk and Compliance Committee of the Office of the Independent Commissioner Against Corruption in the NT.

## 10. CONFIDENTIAL ITEMS

Moved: Independent Member Greg Arnott  
Seconded: Cr Sidey

THAT pursuant to Section 93(2) of the *Local Government Act 2019* and Regulation 51(1) of the *Local Government (General) Regulations* the meeting be closed to the public to consider the following Confidential Items:

### 10.1 Annual 2022-2023 Financial Statements

*Regulation 51(1) For section 293(1) of the Act, the following information is prescribed as confidential:*

(c)(i) information that would, if publicly disclosed, be likely to cause commercial prejudice to, or confer an unfair commercial advantage on, any person.

### 10.2 Payroll Audit Report

*Regulation 51(1) For section 293(1) of the Act, the following information is prescribed as confidential:*

*(a) information about the employment of a particular individual as a member of the staff or possible member of the staff of the council that could, if publicly disclosed, cause prejudice to the individual.*

### 10.3 Local Government Compliance Review – Update

*Regulation 51(1) for Section 293(1) of the Act, the following information is prescribed as confidential:*

*(a) information about the employment of a particular individual as a member of the staff or possible member of the staff of the council that could, if publicly disclosed, cause prejudice to the individual.*

## 10.4 Appointment of External Auditor

*Regulation 51(1) for Section 293(1) of the Act, the following information is prescribed as confidential:*

(c)(i) information that would, if publicly disclosed, be likely to cause commercial prejudice to, or confer an unfair commercial advantage on, any person.

**CARRIED (3-0)**

*The meeting moved to the Confidential Session at 9:34am.*

*Confidential items made public:*

### **10.01 Annual Financial Statements and Closing Audit Report 2022-2023**

THAT the Risk Management and Audit Committee:

1. confirms the draft Litchfield Council 2022-2023 General Purpose Financial Statements, as at Attachment A, are suitable for certification by the Chief Executive Officer for inclusion in the Annual Report and presented to Council;
2. confirms the draft Thorak Regional Cemetery Special Purpose Financial Statements 2022-2023, as at Attachment B, are suitable for certification by the Chief Executive Officer for inclusion in the Annual Report and presented to Council;
3. Confirms the Summary of Financials, as at Attachment C, are suitable for inclusion in the Annual Report and presented to Council;
4. receive and note the closing audit report from KPMG for 30 June 2023 financial year, as at Attachment D;
5. acknowledges the high quality and timeliness of the financial reporting and auditing from the Finance team and KPMG;
6. acknowledge there was no need to meet with the Auditor in the absence of the Management team;
7. include items 1, 2, 3, 5 and 6 in the Key Issues Summary to Council; and
8. makes public its resolution on this matter.

**CARRIED (3-0)**

## **10.02 Payroll Audit Report**

THAT the Risk Management and Audit Committee:

1. receive and note the UHY Haines Norton Audit and Realignment of Council's Payroll Audit Report, dated March 2023, as at Attachment A; and managements reporting on the completion of the recommendations; and
2. make public its resolution on this matter.

**CARRIED (3-0)**

## **10.03 Local Government Compliance Review 2022 – Corrective Actions Closure Correspondence**

THAT the Risk Management and Audit Committee:

1. note the correspondence received from the Local Government Division, Department of the Chief Minister and Cabinet dated 4 September 2023 as at Attachment A; and
2. note the correspondence sent to the Local Government Division, Department of the Chief Minister and Cabinet dated 12 October 2023 as at Attachment B;
3. note Council's position that corrective actions required to address the Issues raised in the Compliance Review 2022 are complete;
4. request Management provide to the Risk Management and Audit Committee, at the meeting closest to its receipt, correspondence from the Local Government Division, Department of the Chief Minister and Cabinet advising their agreement that all Issues identified in the Compliance Review 2022 Final Report have been addressed and are considered complete; and
5. make public its resolution on this matter.

**CARRIED (3-0)**

Moved: Independent Member Greg Arnott  
Seconded: Cr Sidey

THAT pursuant to Section 93(2) of the *Local Government Act 2019* and Regulation 51(1) of the *Local Government (General) Regulations* the meeting be re-opened to the public.

**CARRIED (3-0)**

*The meeting was moved to Open Session at 11:06am.*



#### **4. CONFIRMATION OF MINUTES**

##### **4.01 Confirmation of Minutes**

Moved: Independent Member Greg Arnott  
Seconded: Cr Sidey

THAT the full minutes of the Risk Management Audit Committee Meeting held Wednesday 6 September 2023, 6 pages, be confirmed.

**CARRIED (3-0)**

##### **4.02 Key Issues Summary**

Moved: Cr Sidey  
Seconded: Independent Member Greg Arnott

THAT the Risk Management and Audit Committee receive and note the Key Issues Summary presented to Council at the Ordinary Council Meeting of 19 September 2023.

**CARRIED (3-0)**

#### **5. BUSINESS ARISING FROM THE MINUTES**

Moved: Independent Member Greg Arnott  
Seconded: Cr Sidey

THAT the Risk Management and Audit Committee receive and note the Action Sheet, with the amendment to the status for the Local Government Compliance Review 2022 item being to await the final clearance from the Local Government Division.

**CARRIED (3-0)**

## 6. PRESENTATIONS

Presentation delivered at item 10.01 by KPMG Representative.

## 7. ACCEPTING OR DECLINING LATE ITEMS

Nil.

## 8. OFFICERS REPORTS

### 8.01 2022-2023 Key Performance Indicators Summary

Moved: Cr Sidey

Seconded: Chairperson Iain Summers

THAT the Risk Management and Audit Committee:

1. note the Key Performance Indicators, at Attachment A, for inclusion into the 2022-2023 Annual Report and request Status Commentary updates for the following KPI's:
  - a. Front Counter Customer Experience;
  - b. Financial (four items);
  - c. Local Government Act Compliance;
2. Recommends a review of the relevance and measurability of the KPI's for the 2024-2025 Municipal Plan; and
3. Include these matters in the Key Issues Summary to Council.

**CARRIED (3-0)**

## 9. OTHER BUSINESS

1. Chair Iain Summers identified that this would be his last meeting. Councillor Sidey informed that current Independent Member Greg Arnott would be offered a three-year term as the Independent Chair.
2. Councillor Sidey thanked Chair Iain Summers for his service to the Risk Management and Audit Committee throughout the duration of his tenure.
3. Meeting dates for 2024 to be negotiated with Committee members.

**11. CLOSE OF MEETING**

The Chair closed the meeting at 12:03pm.

**12. NEXT COMMITTEE MEETING**

Meeting dates for 2024 to be negotiated with Committee members.

**MINUTES TO BE CONFIRMED**

Date to be advised.

.....  
**Greg Arnott**  
**Chairperson**

unconfirmed

5. Business Arising from the minutes

THAT Council receives and notes the Action Sheet.

Meeting Date	Agenda Item & Resolution	Action Officer	Status
31/05/2023	<p><b>8.03 Risk Register</b></p> <p>5. encourages the finalisation of the draft Roads Maintenance Inspection Program in response to RP15, Inadequate Asset Sustainability Practices, requirement.</p>	CEO	Remains outstanding.
06/09/2023	<p><b>9. Other Business</b></p> <p>THAT the Risk Management and Audit Committee recommended that the emerging risks entailed in:</p> <ol style="list-style-type: none"> <li>1. Cost increases for waste management; and</li> <li>2. The management of counter disaster responses, be referred to the Risk Register Internal Auditor; and</li> <li>3. That this matter be included in the Key Issues Summary to Council.</li> </ol>	CEO	Item to be raised during the risk register review.
06/09/2023	<p><b>10.04 WHS Audit Update</b></p> <p>4. provide feedback to the Committee at its 25 October 2023 Risk Management and Audit Committee meeting about the progress of appointing an external consultant with the implementation of the plan.</p>	CEO	Update provided – Item 8.04 WHS Audit Progress Report of this agenda.
25/10/2023	<p><b>10.03 Local Government Compliance Review 2022 – Corrective Actions Closure Correspondence</b></p> <p>4. request Management provide to the Risk Management and Audit Committee, at the meeting closest to its receipt, correspondence from the Local Government Division, Department of the Chief Minister and Cabinet advising their agreement that all Issues identified in the Compliance Review 2022 Final Report have been addressed and are considered complete; and make public its resolution on this matter.</p>	CEO	Pending – Council wrote to the Department on 19 January 2024 confirming finalisation of the remaining outstanding items.

Meeting Date	Agenda Item & Resolution	Action Officer	Status
25/10/2023	<p><b>8.01 2022-2023 Key Performance Indicators Summary</b></p> <p>4. Recommends a review of the relevance and measurability of the KPI's for the 2024-2025 Municipal Plan; and</p>	CEO	KPI's have been workshopped and drafted for inclusion in the 2024-2025 Municipal Plan - Completed
25/10/2023	<p><b>9. OTHER BUSINESS</b></p> <p>3. Meeting dates for 2024 to be negotiated with Committee members.</p>	CEO	Email circulated to Committee members and Chair providing alternatives for the 2024 year. Two responses were received. Item – 8.01 of this agenda accommodates preferred dates.
25/10/2023	<p><b>10.04 Appointment of External Auditor</b></p> <p>1. Recommend to Council to engage KPMG as the external auditor for a two-year term beginning in 2023-24 financial year and ending in 2024-25 financial year; and</p> <p>2. Recommend the approval of the external auditor's remuneration of \$93,580 (excluding GST and out of pocket expenses) for the two-year term.</p>	CEO	Completed – Recommendation adopted by Council at its November Ordinary Confidential Meeting

6. Presentations

7. Accepting or Declining Late Items

8. Officer Reports



## RMAC REPORT

<b>Agenda Item Number:</b>	8.01
<b>Report Title:</b>	Meeting Schedule and Workplan
<b>Author:</b>	Rebecca Taylor, Policy & Governance Program Leader
<b>Recommending Officer:</b>	Maxie Smith, Director Corporate and Community
<b>Meeting Date:</b>	29/02/2024
<b>Attachments:</b>	Nil

### Executive Summary

This report presents the proposed RMAC meeting schedule and workplan for 2024.

### Recommendation

THAT RMAC endorse the meeting schedule and workplan for 2024.

### Background

In accordance with the FIN09 Risk Management and Audit Committee policy, RMAC monitors the integrity of the annual financial statements and the annual report, review internal controls and risk management systems and monitor internal and external audits.

The policy also requires the committee to meet quarterly and allows for at least once a year for the committee to meet with Council's external auditor without management present.

The below table presents the proposed meeting schedule and workplan for 2024, meeting all necessary requirements.

29 February 2024 9:30am	<ul style="list-style-type: none"> <li>Review management response to auditor's findings 2022/2023</li> <li>Review progress on internal audit action plans</li> <li>Review risk register</li> <li>Review annual external audit plan</li> </ul>
30 May 2024 9:30am	<ul style="list-style-type: none"> <li>Review progress on internal audit action plans</li> <li>Review risk register</li> <li>Review policy FIN08 Risk Management</li> </ul>
29 August 2024	<ul style="list-style-type: none"> <li>Review progress on internal audit action plans</li> </ul>

9:30am	<ul style="list-style-type: none"> <li>• Review risk register</li> <li>• FIN08 Debt Recovery</li> </ul>
24 October 2024 9:30am*  <i>*This meeting date is subject to change due to timing of delivery of audit and annual report.</i>	<ul style="list-style-type: none"> <li>• Review 2023/2024 financial statements</li> <li>• Review auditor’s draft management letter</li> <li>• Review 2023/2024 Key Performance Indicators results</li> <li>• Meet with external auditors</li> </ul>

**Links with Strategic Plan**

Performance – An Effective and Efficient Organisation

**Legislative and Policy Implications**

In accordance with the FIN09 Risk Management and Audit Committee policy.

**Risks**

Nil identified

**Financial Implications**

Not applicable.

**Community Engagement**

Not applicable.





## RMAC REPORT

<b>Agenda Item Number:</b>	8.02
<b>Report Title:</b>	Internal Audit Plan
<b>Author:</b>	Rebecca Taylor, Policy and Governance Program Leader
<b>Recommending Officer:</b>	Maxie Smith, Director Corporate and Community
<b>Meeting Date:</b>	29/02/2024
<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 receive and note the progress on the internal audits.

### Background

In accordance with the internal audit plan, at Attachment A, there are three internal audits overdue from the 2021/22 and 2022/23 financial period. Below is an update on each audit.

#### Council's Reserve Management Arrangements

Council has requested Council staff to engage a consultant or auditor to determine the cost of maintaining Council's eight recreation reserves. The internal audit of Council's reserve management arrangements has been delayed whilst this work is undertaken.

#### Council's Road Inspection Regime

Council's road inspection regime remains in draft form this quarter, with no expected completion date. An audit is unable to be carried out until the regime has been finalised and implemented. The audit will remain on the internal audit schedule until complete.

#### WHS Audit

At its August 2023 meeting, RMAC was presented with the actions undertaken to address the findings in the WHS Audit. An update on the implementation of the WHS Management Plan is provided as a separate report within this agenda. This audit is now completed.

### Cyber Security

At its August 2023 meeting, RMAC was presented as part of the Internal Audit Plan report with an outline of the action to be undertaken to test councils Australian Cyber Security Centre (ACSC) Essential 8 Maturity. An update on the Essential 8 testing and further action to be undertaken is provided as a separate report within this agenda. The steps outlined in that report will now be taken, and RMAC will be updated when completed.

### Risk Register Audit

Following a request for quote process, Council accepted KPMG's quotation of \$15,000 (exc GST) on 2 February 2024. A start-up meeting was held on Thursday 15 February 2024 and work on the audit has begun.

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

Performance - An Effective and Efficient Organisation

#### **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.

Internal Audit	Status	FY	Description	Risk Profile	Risk Rating	Control Rating
Audit and review of Council's reserve management arrangements	Underway	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	Underway	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	Completed	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	Not required	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
Audit of the Payroll system in comparison to the current Enterprise Agreement	Completed	22/23	Following internal inconsistencies in the payroll area, an audit is required to identify where payroll is incorrect when compared to the current Enterprise Agreement and calculate the correct payments that should be made for employees.	RP16 - Ineffective HR Management / Employment Practices	Moderate	Adequate

Cyber Security	Underway	23/24	Action two items identified in ACSC Essential 8 Maturity testing	RP5 – External Theft and Fraud (inc Cyber Crime)	<b>Moderate</b>	<b>Adequate</b>
Risk Register	Underway	23/24	Audit Council's risk register for appropriateness		<b>N/A</b>	<b>N/A</b>
Asset Management	Not progressed	24/25	Audit of how Council does Asset Management to identify the gaps and risks associated.	RP15 - Inadequate Asset Sustainability Practices	<b>Moderate</b>	<b>Inadequate</b>



## 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>	Maxie Smith, Director Corporate and Community
<b>Meeting Date:</b>	29/02/2024
<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 note the updated risk register at Attachment A.

### 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.

Since the risk register was last presented to RMAC in August, there has been no changes due to the upcoming audit of the Risk Management Framework (including Risk Register).

### Dashboard Actions

There are 7 actions that remain on the dashboard.

### Controls

Control Ratings August 2023		Control Ratings February 2024	
Row Labels	Count of Control	Row Labels	Count of Control
Excellent	24	Excellent	24
Adequate	167	Adequate	167
Inadequate	25	Inadequate	25
<b>Total</b>	<b>216</b>	<b>Total</b>	<b>216</b>

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

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

### Links with Strategic Plan

Performance - An Effective and Efficient Organisation

### 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

Not applicable.

## Community Engagement

Not applicable.

Litchfield Council Risk Dashboard Action Status Report

RP8 - Inadequate Safety and Security Practices		Risk	Control	
		High	Inadequate	
Current Issues / Actions / Treatments	Due Date	Responsibility	Comments & Review History	
Development of SWMS for each work area	Jan-24	Policy and Governance Program Leader		
Current Issues / Actions / Treatments	Due Date	Responsibility	Comments & Review History	
Review Developer Contribution Plan	Jun-18	Project Management Program Leader	<p><b>7 August 2018</b> Consultants have prepared a draft Developer Contribution Plan. Planning and Development Manager is currently reviewing for preparation to Council in October.</p> <p><b>February 2019</b> 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><b>November 2019</b> 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. 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. Legal advice is to wait until new act is passed then proceed with adoption. Expect completion September 2020.</p> <p><b>February 2020</b> 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><b>September 2020</b> 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><b>December</b> Council are expecting the DRAFT DCP from Aurecon in December/January</p> <p><b>February 2021</b> DRAFT DCP received from Aurecon, to be reviewed. DRAFT to be finalised and provided to lawyers by March.</p> <p><b>July 2021</b> 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><b>February 2022</b> As per above - work continues</p> <p><b>August 2022</b> With continued vacancies in the Planning section, no further updates have occurred.</p> <p><b>February 2023</b> Work on the developer contribution plan will recommence next month.</p> <p><b>May 2023</b> No progress</p>	
			<p><b>7 August 2018</b> 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><b>3 October 2018</b> 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><b>February 2019</b> 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>	



Litchfield Council Risk Dashboard Action Status Report

Asset management plans in progress	Jul-18	Manager Infrastructure & Assets	<p><b>September 2019</b> Update on proposed targets to be presented to RMAC in Feb 2020</p> <p><b>February 2020</b> Report presented to March RMAC meeting</p> <p><b>September 2020</b> 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><b>December</b> Asset management plan schedule confirmed by PACMan committee.</p> <ol style="list-style-type: none"> <li>1. Thorak Cemetery - complete</li> <li>2. Road assets - complete</li> <li>3. Plant and Equipment - in draft due June 2021</li> <li>4. Driveways - in draft due June 2021</li> </ol> <p><b>July 2021</b> 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> <p><b>August 2022</b></p> <ol style="list-style-type: none"> <li>1. Thorak Cemetery - complete</li> <li>2. Plant and Equipment - complete</li> <li>4. Transport - June 2022</li> </ol> <p><b>February 2023</b> No further progress</p> <p><b>May 2023</b> As above</p>
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[RP10 - Ineffective Management of Public Facilities / Venues / Events](#)

<b>Risk</b>	<b>Control</b>
Moderate	Inadequate

Current Issues / Actions / Treatments	Due Date	Responsibility	Comments & Review History
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Formalise Public Places By-Law	Jun-19	General Manager Business Excellence	<p><b>7 August 2018</b> 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><b>November 2018</b> Seeking Consultant to guide workshop with elected members in May 2019</p> <p><b>February 2019</b> This action is on hold pending the establishment of meeting procedure by-laws.</p> <p><b>February 2020</b> 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><b>September 2020</b> On Hold - only to be actioned once Meeting Procedure by-laws have been finalised</p> <p><b>December 2020</b> 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><b>July 2021</b> 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><b>February 2022</b> Council approved instructions for public places by-laws. Instructions are now sitting with NTG.</p> <p><b>August 2022</b> Instructions still remain with NTG, waiting for the availability of a draftsman.</p> <p><b>February 2023</b> As above</p> <p><b>May 2023</b> As above</p>
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Litchfield Council Risk Dashboard Action Status Report

Develop Inspection/Maintenance program	Jun-18	Manager Infrastructure & Assets	<p><b>7 August 2018</b> Schedules have been completed and are with the relevant responsible officers for final review. Expect sign of by next RMAC meeting.</p> <p><b>2 Jan 2019</b> Development of maintenance schedule actions rolled up into one action for consistency and ease of reporting.</p> <p><b>February 2019</b> 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. Proposed target - May 2019</p> <p><b>February 2020</b> <b>September 2020</b> Playground inspection/maintenance program in place Cemetery Reserves Supervisor now employed - expect Tree inspection program complete by Dec 2020</p> <p><b>December</b> 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><b>July 2021</b> Outstanding inspection maintenance programs remain in DRAFT form, to be implemented over the next few months.</p> <p><b>August 2022</b> With the current staff shortages, there has been no further development on this action.</p> <p><b>February 2023</b> As above.</p> <p><b>May 2023</b> As above</p>
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RP15 - Inadequate Asset Sustainability Practices	Risk	Control
	Moderate	Inadequate

Current Issues / Actions / Treatments	Due Date	Responsibility	Comments & Review History
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Develop Asset Management Plan inc Asset costings to establish renewal program	Jul-18	Manager Infrastructure & Assets	<p><b>7 August 2018</b> 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><b>February 2019</b> Refer to RP9:Asset management plans in progress. All asset management plans include renewal requirements.</p> <p><b>February 2020</b> In progress</p> <p><b>September 2020</b> 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><b>December</b> Asset management plan schedule confirmed by PACMan committee. 1. Thorak Cemetery - complete 2. Road assts - complete 3. Plant and Equipment - in draft due June 2021 4. Driveways - in draft due June 2021</p> <p><b>July 2021</b> 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> <p><b>August 2022</b> 1. Thorak Cemetery - complete 2. Plant and Equipment - complete 4. Transport - June 2022</p> <p><b>February 2023</b> No further progress</p> <p><b>May 2023</b> As above</p>
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<p>Develop Inspection/Maintenance program</p>	<p>Oct-18</p>	<p>General Manager Infrastructure &amp; Operations</p>	<p><b>7 August 2018</b> 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><b>February 2019</b> 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><b>February 2020</b> In progress</p> <p><b>September 2020</b> Playground inspection/maintenance program in place Cemetery Reserves Supervisor now employed - expect Tree inspection program complete by Dec 2020</p> <p><b>December</b> 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><b>July 2021</b> Outstanding inspection maintenance programs remain in DRAFT form, to be implemented over the next few months</p> <p><b>August 2022</b> With the current staff shortages, there has been no further development on this action..</p> <p><b>February 2023</b> As above.</p> <p><b>May 2023</b> As above</p>
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## 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
<b>Overall Control Ratings:</b>				<b>Adequate</b>

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
Number of actual / attempted fraud and misconduct incidents			

### 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 managemnt 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

Consequence:	Rating
Moderate	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
- Inadequate Reporting / Oversight Frameworks
- Lack of Understanding / Knowledge
- Community Apathy
- Inadequate Local Laws / Planning Schemes
- 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
Consequence:	Moderate
Likelihood:	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	Adequate
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
Consequence:		Moderate
Likelihood:		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
- Robbery
- Scam Invoices
- Lack of Supervision / Unauthorised Entry

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
Consequence:	Moderate
Likelihood:	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
ICT Business Continuity Plan (Doc ID. 438090)	Responsive	Manager Corporate Services	31/08/2022	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
Consequence:		Moderate
Likelihood:		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

# 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
<b>Overall Risk Ratings:</b>		<b>Moderate</b>

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
Site Risks and Opportunity Register	Preventative	Policy and Governance Program Leader	14/08/2023	Adequate
WHS01 Work, Health and Safety Policy	Preventative	Policy and Governance Program Leader	18/08/2023	Adequate
WHS02 Incident Reporting and Investigation Policy	Preventative	Policy and Governance Program Leader	14/08/2023	Adequate
WHS03 First Aid	Preventative	Policy and Governance Program Leader	14/08/2023	Adequate
WHS Management Plan 2023	Preventative	Policy and Governance Program Leader	14/08/2023	Adequate
WHSMP S.17 Contractor Management Plan	Preventative	Policy and Governance Program Leader	14/08/2023	Inadequate
Toolbox Meetings	Preventative	Policy and Governance Program Leader	14/08/2023	Adequate
Substance Register (Doc ID 527594)	Preventative	Policy and Governance Program Leader	18/08/2023	Inadequate
Staff Uniforms (protective) (Doc ID 527403)	Preventative	Policy and Governance Program Leader	18/08/2023	Adequate
Skills and Training Register	Preventative	Policy and Governance Program Leader	14/08/2023	Inadequate
Legal and Other Requirements Register	Preventative	Policy and Governance Program Leader	18/08/2023	Adequate
Asbestos Register (Doc ID 416357)	Detective	Policy and Governance Program Leader	16/08/2022	Inadequate
Fleet Vehicle and plant Safety Requirements	Preventative	Policy and Governance Program Leader	18/08/2023	Inadequate
Conflict Resolution Training - Frontline Staff (Doc ID 526934)	Preventative	Policy and Governance Program Leader	18/08/2023	Adequate
Fire Safety Systems Check (Doc id 458348)	Detective	Policy and Governance Program Leader	18/08/2023	Adequate
Electrical Tag and Test (Doc ID 416358)	Detective	Policy and Governance Program Leader	18/08/2023	Adequate
Incident/Accident and Damage Reporting	Detective	Policy and Governance Program Leader	18/08/2023	Adequate
Staff Inductions	Preventative	Policy and Governance Program Leader	18/08/2023	Adequate
Insurance Cover (Doc ID 526953)	Preventative	Policy and Governance Program Leader	18/08/2023	Adequate
Works Permit – Public Liability Insurance (Doc id 419761)	Preventative	Policy and Governance Program Leader	18/08/2023	Adequate
<b>Overall Control Ratings:</b>				<b>Inadequate</b>

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

<b>Overall Risk Ratings:</b>	<b>High</b>
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Key Indicators	Tolerance	Date	Overall Result
Number of Notifiable Incidents	0	Jul-23	0
Lost time injury rate	0	Jul-23	1.46
Worker's compensation claims	<3	Jul-23	3
Health and Wellbeing Committee Meetings	4 per year	Jul-23	2
Review Site Risk Registers	4 per year	Jul-23	0

**Comments**

Control have been revised and amended in accordance with the WHS Management Plan 2023.

Current Issues / Actions / Treatments	Due Date	Responsibility
Development of SWMS for each work area	Jan-24	Policy and Governance Program Leader

## 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

**Overall Control Ratings:** Adequate

Risk Ratings	Rating
Consequence:	Major
Likelihood:	Unlikely

**Overall Risk Ratings:** Moderate

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 (548476)	Preventative	Manager Communications & Community	4/08/2022	Adequate
Policies and Procedures - Sport and Recreation (548477)	Preventative	Manager Communications & Community	4/08/2022	Adequate
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	16/08/2022	Inadequate
Removal of abandoned vehicles (Doc id 456987)	Preventative	Manager Regulatory Services	27/02/2020	Adequate
Tree management plan	Preventative	Manager Operations & Environment	3/03/2020	Adequate
Playground inspection program	Preventative	Manager Operations & Environment	3/03/2020	Adequate
Budgets to Support Public Facilities (548475)	Preventative	Manager Communications & Community	4/08/2022	Adequate

**Overall Control Ratings:** Inadequate

Risk Ratings	Rating
Consequence:	Moderate
Likelihood:	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 Excellence
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 Excellence

## 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 Loss
- Inadequate Access and/or Security Levels
- Inadequate Storage Facilities
- Staff Turnover / Loss of Corporate Knowledge
- Outdated Record Keeping Practices / Incompatible Systems
- Lack of System/Application Knowledge
- High Workloads and Time Pressures
- 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	23/02/2022	Adequate

**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	1/01/2021	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
<b>Overall Control Ratings:</b>				<b>Inadequate</b>

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

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	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
<b>Overall Control Ratings:</b>				<b>Adequate</b>

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
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
WHSMP S.17 Contractor Management Plan	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>				<b>Inadequate</b>

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

<b>Overall Risk Ratings:</b>	<b>High</b>
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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
<b>Overall Control Ratings:</b>				<b>Inadequate</b>

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

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	Adequate
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**

**Consequence:** Major

**Likelihood:** 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>	WHS Audit Progress Report
<b>Author:</b>	Rebecca Taylor, Policy and Governance Program Leader
<b>Recommending Officer:</b>	Maxie Smith, Director Corporate and Community
<b>Meeting Date:</b>	29/02/2024
<b>Attachments:</b>	Nil

### Executive Summary

This report presents to RMAC an update on the ongoing Work, Health and Safety actions being undertaken.

### Recommendation

THAT RMAC receive and note this report.

### Background

The WHS Audit, conducted in February and presented to RMAC in May, identified 141 non-compliant findings and 76 opportunities for improvement. In response to the audit, a WHS consultant was engaged to address the issues and findings, resulting in all non-compliant findings being resolved.

Several issues highlighted in the WHS Audit were in relation to not meeting or having the resources to implement the WHS Management Plan (plan).

The table below demonstrates how Council has been meeting the obligations of the plan since the completion of the audit.

Mandatory WHS Training	The new WHS Management Plan has been imbedded into Council's induction program and is being developed into a mandatory module in Council's E-Learning system. The module will be assigned to staff annually as a refresher.
Health and Wellbeing Committee	<p>The Health and Wellbeing Committee is now fully functional and has been meeting on a quarterly basis since July 2023.</p> <p>The committee reviews and discusses all incident reports which includes;</p> <ul style="list-style-type: none"> <li>• Requesting further information about an incident</li> <li>• Evaluating trends</li> </ul>

	<ul style="list-style-type: none"> <li>• Recommending corrective actions</li> </ul> <p>The committee also plans and promotes wellbeing initiatives, which has been positive amongst staff, with a high uptake of activities such as massages. The committee also advocated for professional cleaning of office carpets and held a successful Staff Christmas Trivia.</p>
Toolbox Meetings	Regular toolbox meetings are occurring within all teams across Council. The Human Resources team have attended 13 toolbox meetings in the last 6 months, promoting WHS and discussing any concerns.
All Staff Meetings	All staff meetings are being held bi-monthly and provides further opportunity to promote WHS.
WHS Consultant	<p>Justified Services has completed three days work with Council, which included;</p> <ul style="list-style-type: none"> <li>• Conducting Site inspections of all Waste Transfer Stations, Thorak Cemetery and Taminmin Library.</li> <li>• Verification of Competency (VOC) for our Mobile Workforce Team.</li> <li>• Updated Evacuation Plans for the Humpty Doo Waste Transfer Station</li> <li>• Currently reviewing and developing each areas Standard Operating Procedures (SOP) and, where required, Safe Work Method Statements (SWMS).</li> </ul> <p>Justified Services has a further three days remaining in accordance with our agreement and assigned budget. The expectation for the remaining days is to complete the SOP's and SWMS, populate relevant registers and finalise any outstanding matters.</p>

The additional resource of a WHS consultant has been beneficial to the organisation. Not only has it assisted with fulfilling Council's obligations under the plan, but has also provided growth and development in the WHS space for Council employees.

Council will continue to engage a consultant on a regular basis following the end of the agreement with Justified Services.

**Links with Strategic Plan**

Performance - An Effective and Efficient Organisation

**Legislative and Policy Implications**

WHS Management Plan

## **Risks**

### Health and Safety

It is important to continue to appropriately resource Work Health and Safety within Council through the engagement of a consultant. Failing to do so will increase the chance of serious injury to employees.

## **Financial Implications**

Engaging a consultant on a monthly basis will cost Council approximately \$12,000 per year. This amount has been budgeted for within the 2024-2025 budget.

## **Community Engagement**

Not applicable.

## 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:

### 10.01 Confirmation of Confidential Minutes

*Regulation 51(1) for Section 293(1) of the Act, the following information is prescribed as confidential:*

*(d) information subject to an obligation of confidentiality at law, or in equity.*

### 10.02 Management Response 2022-2023 Audit Findings

*Regulation 51(1) for Section 293(1) of the Act, the following information is prescribed as confidential:*

*(e) subject to subregulation (3) – information provided to the council on condition that it be kept confidential and would, if publicly disclosed, be likely to be contrary to the public interest.*

### 10.03 KPMG Audit Plan 2024

*Regulation 51(1) for Section 293(1) of the Act, the following information is prescribed as confidential:*

*(e) subject to subregulation (3) – information provided to the council on condition that it be kept confidential and would, if publicly disclosed, be likely to be contrary to the public interest.*

### 10.04 Cyber Security Audit

*Regulation 51(1) for Section 293(1) of the Act, the following information is prescribed as confidential:*

*(c) information that would, if publicly disclosed, be likely to:*

*(iii) prejudice the security of the council, its members or staff.*

## 11 Close of Meeting