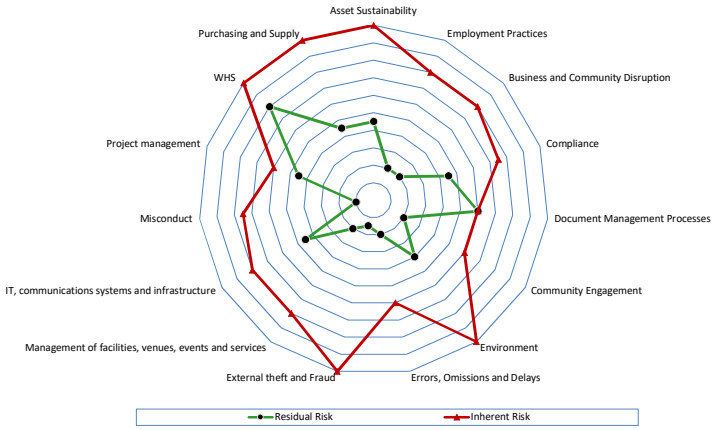
Local Government Risk Dashboard

Sep-23



Asset Sustainability	Risk Ratings		Risk Evaluation	
	Inherent Risk	Extreme	Control effectiveness	Effective
	Residual Risk	Moderate	Risk Acceptance	Urgent attention

Failure or reduction in service of infrastructure assets, plant, equipment or machinery.
These include fleet, buildings, roads, playgrounds, boat ramps and all other assets during their lifecycle from procurement to disposal.

Employment Practices	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	Low	Risk Acceptance	Accept

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

Business and Community Disruption	Risk Rating		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Effective
	Residual Risk	Low	Risk Acceptance	Accept

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

Compliance	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	Moderate	Risk Acceptance	Monitor

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

Document Management Processes	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	High	Risk Acceptance	Urgent attention

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

Community Engagement	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	Low	Risk Acceptance	Accept

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

Environment	Risk Ratings		Risk Evaluation	
	Inherent Risk	Extreme	Control effectiveness	Effective
	Residual Risk	Moderate	Risk Acceptance	Monitor

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

Errors, Omissions and Delays	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	Low	Risk Acceptance	Accept

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

External theft and Fraud	Risk Ratings		Risk Evaluation	
	Inherent Risk	Extreme	Control effectiveness	Adequate
	Residual Risk	Low	Risk Acceptance	Accept

Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means (including electronic), for the purposes of fraud, malicious damage or theft.

Management of facilities, venues, events and services	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Effective
	Residual Risk	Low	Risk Acceptance	Accept

Failure to effectively manage the day to day operations of facilities, venues and events.

Misconduct	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	Low	Risk Acceptance	Accept

Intentional activities in excess of authority granted to an employee, which circumvent endorsed policies, procedures or delegated authority

Project management	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	Moderate	Risk Acceptance	Monitor

Inadequate analysis, design, delivery and reporting of projects / change initiatives

IT, communications systems and infrastructure	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Effective
	Residual Risk	Moderate	Risk Acceptance	Accept

Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the community.

Purchasing and Supply	Risk Ratings		Risk Evaluation	
	Inherent Risk	Extreme	Control effectiveness	Adequate
	Residual Risk	Moderate	Risk Acceptance	Monitor

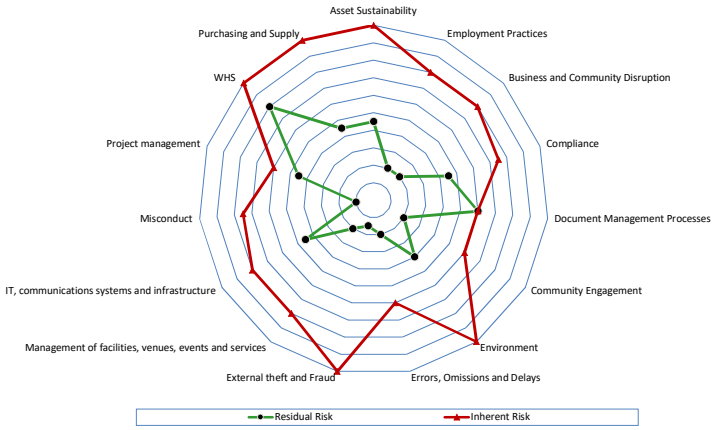
Inadequate management of external Suppliers, Contractors, IT Vendors or Consultants engaged for operations. This includes issues that arise from the ongoing supply of services or failures in contract management & monitoring processes.

WHS	Risk Ratings		Risk Evaluation	
	Inherent Risk	Extreme	Control effectiveness	Inadequate
	Residual Risk	High	Risk Acceptance	Urgent attention

Non-compliance with the Workplace Health & Safety Act, associated regulations and standards.

Local Government Risk Dashboard

Dec-23



Asset Sustainability	Risk Ratings		Risk Evaluation	
	Inherent Risk	Extreme	Control effectiveness	Effective
	Residual Risk	Moderate	Risk Acceptance	Urgent attention

Failure or reduction in service of infrastructure assets, plant, equipment or machinery.
These include fleet, buildings, roads, playgrounds, boat ramps and all other assets during their lifecycle from procurement to disposal.

Employment Practices	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	Low	Risk Acceptance	Accept

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

Business and Community Disruption	Risk Rating		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Effective
	Residual Risk	Low	Risk Acceptance	Accept

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

Compliance	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	Moderate	Risk Acceptance	Monitor

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

Document Management Processes	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	High	Risk Acceptance	Urgent attention

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

Community Engagement	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	Low	Risk Acceptance	Accept

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

Environment	Risk Ratings		Risk Evaluation	
	Inherent Risk	Extreme	Control effectiveness	Effective
	Residual Risk	Moderate	Risk Acceptance	Monitor

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

Errors, Omissions and Delays	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	Low	Risk Acceptance	Accept

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

External theft and Fraud	Risk Ratings		Risk Evaluation	
	Inherent Risk	Extreme	Control effectiveness	Adequate
	Residual Risk	Low	Risk Acceptance	Accept

Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means (including electronic), for the purposes of fraud, malicious damage or theft.

Management of facilities, venues, events and services	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Effective
	Residual Risk	Low	Risk Acceptance	Accept

Failure to effectively manage the day to day operations of facilities, venues and events.

Misconduct	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	Low	Risk Acceptance	Accept

Intentional activities in excess of authority granted to an employee, which circumvent endorsed policies, procedures or delegated authority

Project management	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Adequate
	Residual Risk	Moderate	Risk Acceptance	Monitor

Inadequate analysis, design, delivery and reporting of projects / change initiatives

IT, communications systems and infrastructure	Risk Ratings		Risk Evaluation	
	Inherent Risk	High	Control effectiveness	Effective
	Residual Risk	Moderate	Risk Acceptance	Accept

Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the community.

Purchasing and Supply	Risk Ratings		Risk Evaluation	
	Inherent Risk	Extreme	Control effectiveness	Adequate
	Residual Risk	Moderate	Risk Acceptance	Monitor

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

WHS	Risk Ratings		Risk Evaluation	
	Inherent Risk	Extreme	Control effectiveness	Adequate
	Residual Risk	High	Risk Acceptance	Urgent attention

Non-compliance with the Workplace Health & Safety Act, associated regulations and standards.

Asset Sustainability — Sep-23

Risk Description

Failure or reduction in service of infrastructure assets, plant, equipment or machinery.
These include fleet, buildings, roads, playgrounds, boat ramps and all other assets during their lifecycle from procurement to disposal.

Causal Factors	Potential Outcomes
• Skill level & behaviour of operators • Lack of trained staff • Outdated equipment • Insufficient budget to maintain or replace assets • Unavailability of parts • lack of Maintenance • Breakdowns	• Financial • Service interruption • Property damage • Non compliance • Health

Inherent Risk	Consequence	Likelihood	Risk Rating
	Catastrophic	Likely	Extreme

Key Controls	Type	Date	Control Operating Effectiveness
Roads Routine Maintenance Program	Preventative	Sep-23	Effective
Plant Routine Maintenance Program	Preventative	Sep-23	Effective
Buildings Routine Maintenance Program (reactive)	Preventative	Sep-23	Effective
Procurement & Disposal Process	Preventative	Sep-23	Effective
Asset Management Data Entry (Multiple) & Monitoring	Preventative	Sep-23	Effective
Asset Register	Preventative	Sep-23	Effective
Reactive Maintenance Program	Detective	Sep-23	Effective
Community Strategic Plan (new)	Preventative	Sep-23	Effective
Asbestos Management Plan (in development)	Detective	Sep-23	Effective
		Overall Control Effectiveness	Effective

Residual Risk	Consequence	Likelihood	
	Moderate	Possible	Moderate

Risk Evaluation	Urgent attention

Actions / Treatments	Due Date	Responsibility
Develop Verification of Competency for Plant Operators		

Comments / Justifications

Asset Sustainability — Dec-23

Risk Description

Failure or reduction in service of infrastructure assets, plant, equipment or machinery.
These include fleet, buildings, roads, playgrounds, boat ramps and all other assets during their lifecycle from procurement to disposal.

Causal Factors	Potential Outcomes
• Skill level & behaviour of operators • Lack of trained staff • Outdated equipment • Insufficient budget to maintain or replace assets • Unavailability of parts • lack of Maintenance • Breakdowns	• Financial • Service interruption • Property damage • Non compliance • Health

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Key Controls	Type	Date	Control Operating Effectiveness
Roads Routine Maintenance Program	Preventative	Sep-23	Effective
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Buildings Routine Maintenance Program (reactive)	Preventative	Sep-23	Effective
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Reactive Maintenance Program	Detective	Sep-23	Effective
Community Strategic Plan (new)	Preventative	Sep-23	Effective
Asbestos Management Plan (in development)	Detective	Sep-23	Effective
		Overall Control Effectiveness	Effective

Residual Risk	Consequence	Likelihood	
	Moderate	Possible	Moderate

Risk Evaluation	Urgent attention

Actions / Treatments	Due Date	Responsibility
Develop Verification of Competency for Plant Operators	Nov-23	Works/Risk Coordinator

Comments / Justifications

Regional Risk Coordinator has developed VOC procedure for implementation.

Business and Community Disruption — Sep-23

Risk Description

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

Causal Factors	Potential Outcomes
• Cyclone, storm, fire, earthquake • Terrorism / sabotage / criminal behaviour • Epidemic / Pandemic • Loss of suppliers • Climate change • Loss of key staff • Loss of key infrastructure	• Service Interruption • Reputational damage • Health • Financial Impact

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Likely	High

Key Controls	Type	Date	Control Operating Effectiveness
Business Continuity Plan	Recovery	Sep-23	Inadequate
LEMA	Preventative	Sep-23	Effective
LEMAC	Preventative	Sep-23	Effective
Volunteer Mgt & Training	Preventative	Sep-23	Adequate
Internal Emergency Management Plan	Preventative	Sep-23	Adequate
Generator availability across Shire	Preventative	Sep-23	Effective
IT Disaster Recovery Plan	Preventative	Sep-23	Effective
		Overall Control Effectiveness	Effective

Residual Risk	Consequence	Likelihood	
	Minor	Unlikely	Low

Risk Evaluation	Accept

Actions / Treatments	Due Date	Responsibility
Update internal emergency management plans and diagrams including emergency evacuation training		
Review and update emergency evacuation diagrams		
Test IT Disaster Recovery Plan		
Develop a Business Continuity Plan		

Comments / Justifications

Although the Shire does not have a documented Business Continuity Plan, practices are established to manage a disruption that includes working from home arrangements

Business and Community Disruption — Dec-23

Risk Description

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

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Inherent Risk	Consequence	Likelihood	Risk Rating
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Key Controls	Type	Date	Control Operating Effectiveness
Business Continuity Plan	Recovery	Sep-23	Inadequate
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Generator availability across Shire	Preventative	Sep-23	Effective
IT Disaster Recovery Plan	Preventative	Sep-23	Effective
		Overall Control Effectiveness	Effective

Residual Risk	Consequence	Likelihood	
	Minor	Unlikely	Low

Risk Evaluation	Accept

Actions / Treatments	Due Date	Responsibility
Update internal emergency management plans and diagrams including emergency evacuation training		
Review and update emergency evacuation diagrams		
Test IT Disaster Recovery Plan		
Develop a Business Continuity Plan		

Comments / Justifications

Although the Shire does not have a documented Business Continuity Plan, practices are established to manage a disruption that includes working from home arrangements

DCEO has commenced drafting of Business Continuity Plan for consideration at future Audit & Risk Committee Meeting.

Compliance — Sep-23

Risk Description

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

Causal Factors	Potential Outcomes
• Lack of training, awareness and knowledge • Staff Turnover • Inadequate record keeping/ failure of corporate electronic systems • Ineffective policies & processes • Impulsive decision making • Elected member turnover • Lack of Legal Expertise • Breakdowns in the tender or procurement process • Ineffective monitoring of changes to legislation • Attitudinal problems	• Non-compliance • Reputational • Environmental • Financial Impact

Inherent Risk	Consequence	Likelihood	Risk Rating
	Catastrophic	Possible	High

Key Controls	Type	Date	Control Operating Effectiveness
Compliance framework (in development)	Preventative	Sep-23	Inadequate
'Advice' monitoring (subscriptions)	Preventative	Sep-23	Effective
Annual Compliance Return (CAR)	Detective	Sep-23	Effective
Reg 17	Preventative	Sep-23	Effective
FMR	Preventative	Sep-23	Effective
Audit Committee	Preventative	Sep-23	Effective
Council Policies	Preventative	Sep-23	Inadequate
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Moderate	Possible	Moderate

Risk Evaluation	
	Monitor

Actions / Treatments	Due Date	Responsibility
Ongoing review and integration of governance framework		
Ongoing review of Council policies		
Implementation of FMR report and recommendations following recent financial management review		

Comments / Justifications

The Shire reecently underwent a Regulation 17 review that resulted in a number of recommendations. The Shire is currently reviewing those recommendations.

Compliance Dec-23

Risk Description

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

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Inherent Risk	Consequence	Likelihood	Risk Rating
	Catastrophic	Possible	High

Key Controls	Type	Date	Control Operating Effectiveness
Compliance framework (in development)	Preventative	Sep-23	Inadequate
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FMR	Preventative	Sep-23	Effective
Audit Committee	Preventative	Sep-23	Effective
Council Policies	Preventative	Sep-23	Inadequate
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Moderate	Possible	Moderate

Risk Evaluation	
	Monitor

Actions / Treatments	Due Date	Responsibility
Ongoing review and integration of governance framework		
Ongoing review of Council policies		
Implementation of FMR report and recommendations following recent financial management review		

Comments / Justifications

The Shire recently underwent a Regulation 17 review that resulted in a number of recommendations. The Shire is currently reviewing those recommendations.

Document Management Processes — Sep-23

Risk Description

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

Causal Factors	Potential Outcomes
• Spreadsheet/database/document corruption or loss • Inadequate access and / or security levels • Inadequate Storage facilities (including climate control) • Lack of knowledge/training • Incompatible systems • Lack of awareness of the State Records Act • Outdated record keeping practices • Incomplete authorisation trails	• Compliance • Reputation • Loss of data

Inherent Risk	Consequence	Likelihood	Risk Rating
	Moderate	Likely	High

Key Controls	Type	Date	Control Operating Effectiveness
Records Management Framework	Preventative	Sep-23	Adequate
Policy & Procedural Review process	Preventative	Sep-23	Inadequate
Record Management Officer	Preventative/Detective	Sep-23	Effective
Record Keeping Plan	Preventative	Sep-23	Effective
IT Disaster Recovery Plan	Preventative	Sep-23	Adequate
Staff Training and Development	Preventative	Sep-23	Adequate
Atlus (Synergy)	Preventative	Sep-23	Inadequate
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Moderate	Likely	High

Risk Evaluation	Urgent attention

Actions / Treatments	Due Date	Responsibility
Ongoing implementation of Atlus		
Develop and implement a schedule for Policy reviews		

Comments / Justifications

The Shire is currently reviewing Atlus's document management capability in view of a planend integration into the Shire

Document Management Processes — Dec-23

Risk Description

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

Causal Factors	Potential Outcomes
• Spreadsheet/database/document corruption or loss • Inadequate access and / or security levels • Inadequate Storage facilities (including climate control) • Lack of knowledge/training • Incompatible systems • Lack of awareness of the State Records Act • Outdated record keeping practices • Incomplete authorisation trails	• Compliance • Reputation • Loss of data

Inherent Risk	Consequence	Likelihood	Risk Rating
	Moderate	Likely	High

Key Controls	Type	Date	Control Operating Effectiveness
Records Management Framework	Preventative	Sep-23	Adequate
Policy & Procedural Review process	Preventative	Sep-23	Inadequate
Record Management Officer	Preventative/Detective	Sep-23	Effective
Record Keeping Plan	Preventative	Sep-23	Effective
IT Disaster Recovery Plan	Preventative	Sep-23	Adequate
Staff Training and Development	Preventative	Sep-23	Adequate
Atlus (Synergy)	Preventative	Sep-23	Inadequate
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Moderate	Likely	High

Risk Evaluation	Urgent attention

Actions / Treatments	Due Date	Responsibility
Ongoing implementation of Atlus		
Develop and implement a schedule for Policy reviews		

Comments / Justifications

The Shire is currently reviewing Atlus's document management capability in view of a planned integration into the Shire

Employment Practices — Sep-23

Risk Description

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

Causal Factors	Potential Outcomes
• Leadership failures • Key / single-person dependencies • Poor internal communications / relationships • Ineffective Human Resources policies, procedures and practices • Ineffective performance management arrangements • Limited staff availability - labour market • Inadequate staff training / knowledge	• Health • Compliance • Reputation • Service interruption

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Likely	High

Key Controls	Type	Date	Control Operating Effectiveness
Onboarding / Induction process	Preventative	Sep-23	Adequate
Staff training	Preventative	Sep-23	Adequate
Performance Management Process	Preventative	Sep-23	Effective
Staff Exit process	Preventative	Sep-23	Effective
Workforce Planning	Preventative	Sep-23	Effective
Code of Conduct	Preventative	Sep-23	Effective
Volunteer Policy and Procedures	Preventative	Sep-23	Inadequate
Internal engagements (meetings)	Preventative	Sep-23	Adequate
HR Policies and procedures	Preventative / reactive	Sep-23	Inadequate
WALGA IR Support	Preventative	Sep-23	Effective
		Overall Control Effectiveness	**Adequate**

Residual Risk	Consequence	Likelihood	
	Minor	Unlikely	Low

Risk Evaluation	
	Accept

Actions / Treatments	Due Date	Responsibility
Implementation of Definitive (payroll compliance module)		
HR policies to be updated		

Comments / Justifications

Employment Practices — Dec-23

Risk Description

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

Causal Factors	Potential Outcomes
• Leadership failures • Key / single-person dependencies • Poor internal communications / relationships • Ineffective Human Resources policies, procedures and practices • Ineffective performance management arrangements • Limited staff availability - labour market • Inadequate staff training / knowledge	• Health • Compliance • Reputation • Service interruption

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Likely	High

Key Controls	Type	Date	Control Operating Effectiveness
Onboarding / Induction process	Preventative	Sep-23	Adequate
Staff training	Preventative	Sep-23	Adequate
Performance Management Process	Preventative	Sep-23	Effective
Staff Exit process	Preventative	Sep-23	Effective
Workforce Planning	Preventative	Sep-23	Effective
Code of Conduct	Preventative	Sep-23	Effective
Volunteer Policy and Procedures	Preventative	Sep-23	Inadequate
Internal engagements (meetings)	Preventative	Sep-23	Adequate
HR Policies and procedures	Preventative / reactive	Sep-23	Inadequate
WALGA IR Support	Preventative	Sep-23	Effective
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Minor	Unlikely	Low

Risk Evaluation	
	Accept

Actions / Treatments	Due Date	Responsibility
Implementation of Definitive (payroll compliance module)		
HR policies to be updated		

Comments / Justifications

Community Engagement — Sep-23

Risk Description

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

Causal Factors	Potential Outcomes
• Relationship breakdowns with community groups • Leadership inattention to current issues • Inadequate documentation or procedures • Budget / funding issues • Poor communication and engagement on issues • Inadequate support for community groups	• Reputation • Compliance • Service interruption • Environmental

Inherent Risk	Consequence	Likelihood	Risk Rating
	Moderate	Likely	High

Key Controls	Type	Date	Control Operating Effectiveness
Complaint Management Process	Preventative	Sep-23	Inadequate
Social media Policy	Preventative	Sep-23	Effective
Community Group Involvement	Detective	Sep-23	Adequate
Customer Service Charter	Preventative	Sep-23	Inadequate
Community Notices/communication	Preventative	Sep-23	Effective
Community Strategic Plan	Preventative	Sep-23	Effective
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Insignificant	Likely	Low

Risk Evaluation	
	Accept

Actions / Treatments	Due Date	Responsibility
Develop complaint management process		
Review Customer Service Charter		

Comments / Justifications

Community Engagement — Dec-23

Risk Description

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

Causal Factors	Potential Outcomes
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Inherent Risk	Consequence	Likelihood	Risk Rating
	Moderate	Likely	High

Key Controls	Type	Date	Control Operating Effectiveness
Complaint Management Process	Preventative	Sep-23	Inadequate
Social media Policy	Preventative	Sep-23	Effective
Community Group Involvement	Detective	Sep-23	Adequate
Customer Service Charter	Preventative	Sep-23	Inadequate
Community Notices/communication	Preventative	Sep-23	Effective
Community Strategic Plan	Preventative	Sep-23	Effective
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Insignificant	Likely	Low

Risk Evaluation	
	Accept

Actions / Treatments	Due Date	Responsibility
Develop complaint management process		
Review Customer Service Charter		

Comments / Justifications

Behavioural Complaints Committee established in October 2023. Policy/Procedure framework drafted and to be finalised.

Environment — Sep-23

Risk Description

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

Causal Factors	Potential Outcomes
• Inadequate management of landfill sites • Lack of understanding / knowledge • Inadequate local laws / planning schemes • Prolific extractive industry (sand, limestone, etc) • Poor management of contaminated sites • Clandestine drug labs disposing of chemicals illegally • Weather events / natural disasters • Climate change • Inadequate weed and pest management • Land contamination	• Environmental • Compliance • Health • Reputational • Property • Financial

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Almost Certain	Extreme

Key Controls	Type	Date	Control Operating Effectiveness
Waste Facilities Management Plan	Preventative	Sep-23	***Effective***
Strategic Plan - includes reference to environmental and waste services	Preventative	Sep-23	**Effective**
Spill kits / PPE	Preventative	Sep-23	**Effective**
Above ground fuel tank bunded	Preventative	Sep-23	**Effective**
Weed Control Program	Preventative	Sep-23	**Effective**
Vegetation control program	Preventative	Sep-23	**Effective**
Asbestos Management Plan	Preventative/Detective	Sep-23	**Effective**
EHO (shared resource)	Preventative	Sep-23	**Adequate**
Sewarage Management Plan	Preventative	Sep-23	**Effective**
		Overall Control Effectiveness	**Effective**

Residual Risk	Consequence	Likelihood	
	Minor	Likely	**Moderate**

Risk Evaluation	
	Monitor

Actions / Treatments	Due Date	Responsibility

Comments / Justifications

EHO has been assigned as adequate due to it being a shared contracted role with significant workload

Environment — Dec-23

Risk Description

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

Causal Factors	Potential Outcomes
• Inadequate management of landfill sites • Lack of understanding / knowledge • Inadequate local laws / planning schemes • Prolific extractive industry (sand, limestone, etc) • Poor management of contaminated sites • Clandestine drug labs disposing of chemicals illegally • Weather events / natural disasters • Climate change • Inadequate weed and pest management • Land contamination	• Environmental • Compliance • Health • Reputational • Property • Financial

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Almost Certain	Extreme

Key Controls	Type	Date	Control Operating Effectiveness
Waste Facilities Management Plan	Preventative	Sep-23	***Effective***
Strategic Plan - includes reference to environmental and waste services	Preventative	Sep-23	**Effective**
Spill kits / PPE	Preventative	Sep-23	**Effective**
Above ground fuel tank bunded	Preventative	Sep-23	**Effective**
Weed Control Program	Preventative	Sep-23	**Effective**
Vegetation control program	Preventative	Sep-23	**Effective**
Asbestos Management Plan	Preventative/Detective	Sep-23	**Effective**
EHO (shared resource)	Preventative	Sep-23	**Adequate**
Sewerage Management Plan	Preventative	Sep-23	**Effective**
		Overall Control Effectiveness	**Effective**

Residual Risk	Consequence	Likelihood	
	Minor	Likely	**Moderate**

Risk Evaluation	
	Monitor

Actions / Treatments	Due Date	Responsibility

Comments / Justifications

EHO has been assigned as adequate due to it being a shared contracted role with significant workload

Errors, Omissions and Delays — Sep-23

Risk Description

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

Causal Factors	Potential Outcomes
• Inadequate internal processes • Lack of knowledge/training • Legislative changes • Unrealistic community/council expectations • Incorrect information Staff turnover • Work pressures / deadlines • Failure to monitor external non-compliance (swimming pools/food hygiene) • Human Error	• Compliance • Reputational • Financial • Property

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Possible	High

Key Controls	Type	Date	Control Operating Effectiveness
Delegations Register	Preventative	Sep-23	Effective
Town Planner (consultant)	Preventative	Sep-23	Effective
Local Planning Strategy	Preventative	Sep-23	Inadequate
Compliance and Governance Calendar	Preventative	Sep-23	Inadequate
Access to state legislation	Preventative	Sep-23	Effective
Contracted health Officer	Preventative	Sep-23	Effective
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Minor	Unlikely	Low

Risk Evaluation	
	Accept

Actions / Treatments	Due Date	Responsibility
Develop a local planning strategy		
Continued development of the compliance and governance calendar		

Comments / Justifications

Errors, Omissions and Delays — Dec-23

Risk Description

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

Causal Factors	Potential Outcomes
• Inadequate internal processes • Lack of knowledge/training • Legislative changes • Unrealistic community/council expectations • Incorrect information Staff turnover • Work pressures / deadlines • Failure to monitor external non-compliance (swimming pools/food hygiene) • Human Error	• Compliance • Reputational • Financial • Property

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Possible	High

Key Controls	Type	Date	Control Operating Effectiveness
Delegations Register	Preventative	Sep-23	Effective
Town Planner (consultant)	Preventative	Sep-23	Effective
Local Planning Strategy	Preventative	Sep-23	Inadequate
Compliance and Governance Calendar	Preventative	Sep-23	Adequate
Access to state legislation	Preventative	Sep-23	Effective
Contracted health Officer	Preventative	Sep-23	Effective
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Minor	Unlikely	Low

Risk Evaluation	
	Accept

Actions / Treatments	Due Date	Responsibility
Develop a local planning strategy		
Continued development of the compliance and governance calendar		

Comments / Justifications

WALGA Compliance Calendar template utilised. To roll out in the 2024 calendar year as a tool to track compliance.

External theft and Fraud — Sep-23

Risk Description

Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means (including electronic), for the purposes of fraud, malicious damage or theft.

Causal Factors	Potential Outcomes
• Inadequate security measures • Robbery / theft • Cyber crime • Scam invoices • Inadequate knowledge/training • staff collusions	• Financial • Reputational • Property • Service Interruption

Inherent Risk	Consequence	Likelihood	Risk Rating
	Catastrophic	Likely	Extreme

Key Controls	Type	Date	Control Operating Effectiveness
Building Security access controls (alarms, CCTV, keypad access)	Preventative	Sep-23	Adequate
Equipment storage security access controls	Preventative	Sep-23	Adequate
IT Security Framework (third party vendor)	Preventative	Sep-23	Effective
Cash handling processes	Preventative	Sep-23	Inadequate
Asset Registers	Preventative	Sep-23	Effective
Attractive items Registers	Detective	Sep-23	Effective
Keys secured overnight	Preventative	Sep-23	Adequate
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Insignificant	Possible	Low

Risk Evaluation	
	Accept

Actions / Treatments	Due Date	Responsibility
Installation of electronic gate at depot		
Update cash handling procedures		

Comments / Justifications

External theft and Fraud — Dec-23

Risk Description

Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means (including electronic), for the purposes of fraud, malicious damage or theft.

Causal Factors	Potential Outcomes
• Inadequate security measures • Robbery / theft • Cyber crime • Scam invoices • Inadequate knowledge/training • staff collusions	• Financial • Reputational • Property • Service Interruption

Inherent Risk	Consequence	Likelihood	Risk Rating
	Catastrophic	Likely	Extreme

Key Controls	Type	Date	Control Operating Effectiveness
Building Security access controls (alarms, CCTV, keypad access)	Preventative	Sep-23	Effective
Equipment storage security access controls	Preventative	Sep-23	Effective
IT Security Framework (third party vendor)	Preventative	Sep-23	Effective
Cash handling processes	Preventative	Sep-23	Inadequate
Asset Registers	Preventative	Sep-23	Effective
Attractive items Registers	Detective	Sep-23	Effective
Keys secured overnight	Preventative	Sep-23	Effective
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Insignificant	Possible	Low

Risk Evaluation	
	Accept

Actions / Treatments	Due Date	Responsibility
Installation of electronic gate at depot	Nov-23	Works
Update cash handling procedures		

Comments / Justifications

Movement of key controls from Adequate to Effective due to installation of Works Depot Auto Gate.

Management of facilities, venues, events and services — Sep-23

Risk Description

Failure to effectively manage the day to day operations of facilities, venues and events.

Causal Factors	Potential Outcomes
• Lack of internal procedures • Inappropriate alcohol consumption • Inadequate hiring agreements • Poor event planning • Lack of internal knowledge/training • Lack of monitoring	• Financial • Reputational • Compliance • Health • Environmental

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Likely	High

Key Controls	Type	Date	Control Operating Effectiveness
Event management approval process	Preventative	Sep-23	Effective
Inspection and cleaning schedules	Preventative	Sep-23	Effective
Facility / Venue booking process	Preventative	Sep-23	Effective
Ad hoc inspection program	Preventative	Sep-23	Effective
Environmental Health Officer (contracted)	Preventative	Sep-23	Effective
Community Inspection Program	Detective	Sep-23	Effective
User access agreements with community (sporting)	Preventative	Sep-23	Inadequate
		Overall Control Effectiveness	Effective

Residual Risk	Consequence	Likelihood	
	Minor	Unlikely	Low

Risk Evaluation	
	Accept

Actions / Treatments	Due Date	Responsibility
Revewing access agreements for community facilities		

Comments / Justifications

Management of facilities, venues, events and services — Dec-23

Risk Description

Failure to effectively manage the day to day operations of facilities, venues and events.

Causal Factors	Potential Outcomes
• Lack of internal procedures • Inappropriate alcohol consumption • Inadequate hiring agreements • Poor event planning • Lack of internal knowledge/training • Lack of monitoring	• Financial • Reputational • Compliance • Health • Environmental

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Likely	High

Key Controls	Type	Date	Control Operating Effectiveness
Event management approval process	Preventative	Sep-23	Effective
Inspection and cleaning schedules	Preventative	Sep-23	Effective
Facility / Venue booking process	Preventative	Sep-23	Effective
Ad hoc inspection program	Preventative	Sep-23	Effective
Environmental Health Officer (contracted)	Preventative	Sep-23	Effective
Community Inspection Program	Detective	Sep-23	Effective
User access agreements with community (sporting)	Preventative	Sep-23	Inadequate
		Overall Control Effectiveness	Effective

Residual Risk	Consequence	Likelihood	
	Minor	Unlikely	Low

Risk Evaluation	
	Accept

Actions / Treatments	Due Date	Responsibility
Revewing access agreements for community facilities		

Comments / Justifications

User agreements being investigated as part of the Consultation of Recreation Centre Management Models currently being undertaken by Caroline Robinson at 150Square.

IT, communications systems and infrastructure — Sep-23

Risk Description

Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the community.

Causal Factors	Potential Outcomes
• Power outage on site or at provider • Software / hardware vulnerability and/or failure • Cyber crime and viruses • Inadequate IT incident and recovery processes • Failure of vendor • User error	• Financial • Service interruption • Property • Reputational

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Likely	High

Key Controls	Type	Date	Control Operating Effectiveness
IT Infrastructure replacement / refresh program	Preventative	Sep-23	Effective
IT Vendor Agreement monitoring program (Wallis)	Detective	Sep-23	Effective
IT Disaster Recovery Plan	Recovery	Sep-23	Adequate
Infrastructure Security	Preventative	Sep-23	Effective
UPS / Generator	Preventative	Sep-23	Effective
Mobile phones for key staff	Preventative	Sep-23	Effective
2 ways and sat phones	Preventative	Sep-23	Effective
IT security training	Preventative	Sep-23	Effective
		Overall Control Effectiveness	Effective

Residual Risk	Consequence	Likelihood	
	Moderate	Possible	Moderate

Risk Evaluation	
	Monitor

Actions / Treatments	Due Date	Responsibility
Consider review of 3rd party vendor		

Comments / Justifications

IT, communications systems and infrastructure — Dec-23

Risk Description

Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the community.

Causal Factors	Potential Outcomes
• Power outage on site or at provider • Software / hardware vulnerability and/or failure • Cyber crime and viruses • Inadequate IT incident and recovery processes • Failure of vendor • User error	• Financial • Service interruption • Property • Reputational

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Likely	High

Key Controls	Type	Date	Control Operating Effectiveness
IT Infrastructure replacement / refresh program	Preventative	Sep-23	Effective
IT Vendor Agreement monitoring program (Wallis)	Detective	Sep-23	Effective
IT Disaster Recovery Plan	Recovery	Sep-23	Adequate
Infrastructure Security	Preventative	Sep-23	Effective
UPS / Generator	Preventative	Sep-23	Effective
Mobile phones for key staff	Preventative	Sep-23	Effective
2 ways and sat phones	Preventative	Sep-23	Effective
IT security training	Preventative	Sep-23	Effective
		Overall Control Effectiveness	Effective

Residual Risk	Consequence	Likelihood	
	Moderate	Possible	Moderate

Risk Evaluation	
	Monitor

Actions / Treatments	Due Date	Responsibility
Consider review of 3rd party vendor		

Comments / Justifications

Additional requirements to be added to the IT & Comms Risk Profile as determined as findings in the Audit Management Letter.

Misconduct Sep-23

Risk Description

Intentional activities in excess of authority granted to an employee, which circumvent endorsed policies, procedures or delegated authority

Causal Factors	Potential Outcomes
• Inadequate training • lack of policies and procedures (code of conduct) • Delegated authority circumvented • Lack of internal control • Poor recruitment practices • Insubordination • Workplace culture	• Financial • Health • Services • Reputation • Compliance

Inherent Risk	Consequence	Likelihood	Risk Rating
	Catastrophic	Possible	**High**

Key Controls	Type	Date	Control Operating Effectiveness
Delegations register and process	Preventative	Sep-23	***Effective***
IT Security Framework (Profile Use)	Preventative	Sep-23	***Effective***
Cash handling procedures	Preventative	Sep-23	***Inadequate***
Staff on-boarding / induction program	Preventative	Sep-23	***Adequate***
Internal reporting process (not documented)	Preventative	Sep-23	***Adequate***
Code of Conduct	Preventative	Sep-23	**Effective**
Council policies	Preventative	Sep-23	**Inadequate**
Performance Appraisal Program	Detective	Sep-23	**Adequate**
Effective Leadership	Preventative	Sep-23	**Effective**
HR Policies	Preventative	Sep-23	**Inadequate**
Recruitment process (WALGA template)	Preventative	Sep-23	**Adequate**
		Overall Control Effectiveness	**Adequate**

Residual Risk	Consequence	Likelihood	
	Minor	Rare	**Low**

Risk Evaluation	
	Accept

Actions / Treatments	Due Date	Responsibility
Document internal reporting process		
Ongoing review of council policies		
Ongoing review of HR policies		

Comments / Justifications

Misconduct Dec-23

Risk Description

Intentional activities in excess of authority granted to an employee, which circumvent endorsed policies, procedures or delegated authority

Causal Factors	Potential Outcomes
• Inadequate training • lack of policies and procedures (code of conduct) • Delegated authority circumvented • Lack of internal control • Poor recruitment practices • Insubordination • Workplace culture	• Financial • Health • Services • Reputation • Compliance

Inherent Risk	Consequence	Likelihood	Risk Rating
	Catastrophic	Possible	**High**

Key Controls	Type	Date	Control Operating Effectiveness
Delegations register and process	Preventative	Sep-23	***Effective***
IT Security Framework (Profile Use)	Preventative	Sep-23	***Effective***
Cash handling procedures	Preventative	Sep-23	***Inadequate***
Staff on-boarding / induction program	Preventative	Sep-23	***Adequate***
Internal reporting process (not documented)	Preventative	Sep-23	***Adequate***
Code of Conduct	Preventative	Sep-23	**Effective**
Council policies	Preventative	Sep-23	**Inadequate**
Performance Appraisal Program	Detective	Sep-23	**Adequate**
Effective Leadership	Preventative	Sep-23	**Effective**
HR Policies	Preventative	Sep-23	**Inadequate**
Recruitment process (WALGA template)	Preventative	Sep-23	**Adequate**
		Overall Control Effectiveness	**Adequate**

Residual Risk	Consequence	Likelihood	
	Minor	Rare	**Low**

Risk Evaluation	
	Accept

Actions / Treatments	Due Date	Responsibility
Document internal reporting process		
Ongoing review of council policies		
Ongoing review of HR policies		

Comments / Justifications

Project management — Sep-23

Risk Description

Inadequate analysis, design, delivery and reporting of projects / change initiatives

Causal Factors	Potential Outcomes
• Poor planning methodology and process • Excessive/unrealistic project lists • Inadequate monitoring of projects • Lack on internal resources • Supply chain restrictions • Ineffective procurement processes	• Reputation • Financial • Service interruption

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Possible	**High**

Key Controls	Type	Date	Control Operating Effectiveness
Project reporting to Council	Preventative	Sep-23	***Effective***
Purchase orders	Preventative	Sep-23	***Effective***
Project proposal templates	Preventative	Sep-23	**Inadequate**
Use of project management tools	Preventative	Sep-23	**Inadequate**
Project reporting processes	Preventative	Sep-23	**Effective**
Procurement plan (template)	Preventative	Sep-23	**Adequate**
Planning processes (public consultation)	Preventative	Sep-23	**Effective**
Budget allocations	Preventative	Sep-23	**Adequate**
Purchasing Policy	Preventative	Sep-23	**Effective**
Project timelines	Preventative	Sep-23	**Inadequate**
		Overall Control Effectiveness	**Adequate**

Residual Risk	Consequence	Likelihood	
	Moderate	Possible	**Moderate**

Risk Evaluation	
	Monitor

Actions / Treatments	Due Date	Responsibility
Project Management Framework to be developed		

Comments / Justifications

Project management — Dec-23

Risk Description

Inadequate analysis, design, delivery and reporting of projects / change initiatives

Causal Factors	Potential Outcomes
• Poor planning methodology and process • Excessive/unrealistic project lists • Inadequate monitoring of projects • Lack on internal resources • Supply chain restrictions • Ineffective procurement processes	• Reputation • Financial • Service interruption

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Possible	**High**

Key Controls	Type	Date	Control Operating Effectiveness
Project reporting to Council	Preventative	Sep-23	***Effective***
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Budget allocations	Preventative	Sep-23	**Adequate**
Purchasing Policy	Preventative	Sep-23	**Effective**
Project timelines	Preventative	Sep-23	**Inadequate**
		Overall Control Effectiveness	**Adequate**

Residual Risk	Consequence	Likelihood	
	Moderate	Possible	**Moderate**

Risk Evaluation	
	Monitor

Actions / Treatments	Due Date	Responsibility
Project Management Framework to be developed		

Comments / Justifications

Purchasing and Supply — Sep-23

Risk Description

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

Causal Factors	Potential Outcomes
• Inadequate tendering/procurement processes • Limited internal resources (physical and financial) • Inadequate contractor management practices • Inadequate supply/contractor monitoring • Supply chain limitations	• Financial • Service Interruption • Reputation • Compliance • Property

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Almost Certain	Extreme

Key Controls	Type	Date	Control Operating Effectiveness
Contractor management procedures	Preventative	Sep-23	Inadequate
Purchasing policy	Preventative	Sep-23	Effective
Use of WALGA contracts and e-quote system	Preventative	Sep-23	Effective
Buy Local Policy	Preventative	Sep-23	Effective
RFQ/RFT processes	Preventative	Sep-23	Adequate
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Moderate	Possible	Moderate

Risk Evaluation	
	Monitor

Actions / Treatments	Due Date	Responsibility
Develop contractor management procedures		

Comments / Justifications

Purchasing and Supply — Dec-23

Risk Description

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

Causal Factors	Potential Outcomes
• Inadequate tendering/procurement processes • Limited internal resources (physical and financial) • Inadequate contractor management practices • Inadequate supply/contractor monitoring • Supply chain limitations	• Financial • Service Interruption • Reputation • Compliance • Property

Inherent Risk	Consequence	Likelihood	Risk Rating
	Major	Almost Certain	Extreme

Key Controls	Type	Date	Control Operating Effectiveness
Contractor management procedures	Preventative	Sep-23	Inadequate
Purchasing policy	Preventative	Sep-23	Effective
Use of WALGA contracts and e-quote system	Preventative	Sep-23	Effective
Buy Local Policy	Preventative	Sep-23	Effective
RFQ/RFT processes	Preventative	Sep-23	Adequate
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Moderate	Possible	Moderate

Risk Evaluation	Monitor

Actions / Treatments	Due Date	Responsibility
Develop contractor management procedures		

Comments / Justifications

WHS Sep-23

Risk Description

Non-compliance with the Workplace Health & Safety Act, associated regulations and standards.

Causal Factors	Potential Outcomes
• Lack of resources (physical and financial) • Ineffective safety management practices • Inadequate training and supervision • Lack of understanding of WHS requirements • Poor culture	• Health • Compliance • Reputation • Financial • Property

Inherent Risk	Consequence	Likelihood	Risk Rating
	Catastrophic	Likely	Extreme

Key Controls	Type	Date	Control Operating Effectiveness
Safety Policy	Preventative	Sep-23	Inadequate
Safety Rep	Preventative	Sep-23	Effective
Induction program	Preventative	Sep-23	Adequate
Risk assessments / Safe work method statements	Preventative	Sep-23	Inadequate
Member of LGIS RRC program	Preventative	Sep-23	Effective
LGIS 3 steps to safety assessment	Detective	Sep-23	Adequate
Emergency management program (needs review)	Preventative	Sep-23	Adequate
PPE	Preventative	Sep-23	Effective
		Overall Control Effectiveness	Inadequate

Residual Risk	Consequence	Likelihood	
	Major	Likely	High

Risk Evaluation	Urgent attention

Actions / Treatments	Due Date	Responsibility
Review and update WHS Policy include signatory		
Develop Verification of Competency for plant operators		
Development of WHS Management Plans (for construction projects where 5 or more persons are working)		
Development of Safe Work Method Statements for high risk construction work		

Comments / Justifications

WHS Dec-23

Risk Description

Non-compliance with the Workplace Health & Safety Act, associated regulations and standards.

Causal Factors	Potential Outcomes
• Lack of resources (physical and financial) • Ineffective safety management practices • Inadequate training and supervision • Lack of understanding of WHS requirements • Poor culture	• Health • Compliance • Reputation • Financial • Property

Inherent Risk	Consequence	Likelihood	Risk Rating
	Catastrophic	Likely	Extreme

Key Controls	Type	Date	Control Operating Effectiveness
Safety Policy	Preventative	Sep-23	Adequate
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Emergency management program (needs review)	Preventative	Sep-23	Adequate
PPE	Preventative	Sep-23	Effective
		Overall Control Effectiveness	Adequate

Residual Risk	Consequence	Likelihood	
	Major	Likely	High

Risk Evaluation	Urgent attention

Actions / Treatments	Due Date	Responsibility
Review and update WHS Policy include signatory		
Develop Verification of Competency for plant operators	Nov-23	Works/Risk Coordinator
Development of WHS Management Plans (for construction projects where 5 or more persons are working)	Nov-23	Works/Risk Coordinator
Development of Safe Work Method Statements for high risk construction work	Nov-23	Works/Risk Coordinator

Comments / Justifications

Regional Risk Coordinator has developed VOC procedure for implementation.

Regional Risk Coordinator has customised Construction Management Plans to Koorda.

Regional Risk Coordinator met with Works Supervisor to ascertain which SWMS are required. WS advised many SWMS are in place, and development will be ongoing.