Risk Management and Audit Committee (RMAC)

BUSINESS PAPER

TUESDAY 1/09/2020

Meeting to be held commencing 10.00am
In Executive Meeting Room at 7 Bees Creek Road, Freds Pass

Daniel Fletcher, Chief Executive Officer

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

LITCHFIELD COUNCIL RMAC MEETING

Notice of Meeting
to be held in the Executive Meeting Room, Litchfield
on Tuesday, 1 September 2020 at 10.00am

Daniel Fletcher
Chief Executive Officer

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1. Opening of meeting

2. Apologies and Leaves of Absence

3. Disclosure of Interests

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

4. Confirmation of Minutes

THAT the full minutes of the Risk Management and Internal Audit Committee Meeting held Tuesday 5 May 2020, 4 pages, be confirmed.

Minutes have been distributed under separate cover and are publicly available on Council's website http://www.litchfield.nt.gov.au/council/committees or in hard copy by request.

5. Business Arising from the minutes

THAT Council receives and notes the Action Sheet

Meeting Date	Agenda Item & Resolution	Action Officer	Status
5 May 2020	8.4 DRAFT FIN01 Asset Disposal THAT RMAC: Endorses DRAFT FIN01 Asset Disposal policy for presentation to Council for adoption.		Completed FIN01 Asset Disposal Policy adopted in the May Council Meeting. CARRIED (5-0)-1920/222
5 May 2020	8.5 DRAFT FIN08 Risk Management Policy THAT RMAC: Endorse DRAFT FIN08 Risk Management policy for presentation for Council approval.		Completed FIN08 Risk Management Policy adopted in the May Council Meeting. CARRIED (5-0)-1920/223

6. Presentations

7. Accepting or Declining Late Items

8. Officer Reports

RMAC REPORT

Agenda Item Number:	8.1
Report Title:	ICT Security Audit
Recommending Officer:	Silke Maynard, Director Community and Corporate Services
Meeting Date:	1/09/2020
Attachments:	Nil

Executive Summary

This report is to present RMAC the preliminary findings and key recommendations of the ICT Security Audit Report 2020.

Recommendation

THAT RMAC:

1. Receive update on the ICT Security Audit; and
2. Request that the final ICT Security Audit report with management responses be presented at the next meeting.

Background

Fourier Technologies was engaged by Litchfield Council to perform an audit of Council's ICT systems and processes. The review was performed in June 2020 and a draft report created to present the findings of the review and recommended actions to address areas of risk. The review of the draft report has highlighted the need for amendments to some of the assumptions made by the consultant. The consultant has made assumptions regarding Council's risk appetite that lead to a number of recommendations that are unrealistic based on Council's risk profile and financial capacity.

The draft report at this stage has identified 33 actions categorised in the following way:

Risk	Description/Action	Number
High	Senior Management Attention needed. Failing to implement this recommendation as soon as possible introduces a high probability of loss of some sort.	6
Moderate	Management responsibility must be specified. Its I possible that failing to implement this recommendation will result in a loss of some sort. Rectification should be performed at the next scheduled maintenance.	12
Low	Manage by routine procedures. This issue should be considered during normal administrative duties and planning processes.	11
Information	Informational possible exposure.	4
	TOTAL	**33**

Out of the identified six high risks, four are already actioned as part of the server exchange (renewal) project currently in progress. The other two high risks are related to the notification process of Council's renewed firewall and can be addressed internally without adding further costs.

Council officers are working with the consultant to finalise the audit report and address the identified risks. The full report with management response, required actions with timelines and budget implications will be presented to the next RMAC meeting. Furthermore, Council will ensure that any relevant findings of the audit will be included in Council's Risk Management Register for monitoring (as internal controls or treatments).

Links with Strategic Plan

A Well-Run Council - Good Governance

Legislative and Policy Implications

Internal audits for the 2019/20 financial year are now complete with the finalisation of the ICT security audit report. Internal audits for the 2020/21 financial year will commence in accordance with the 3 year internal audit plan.

Risks

Council is actively auditing processes and therefore reducing any risk to the organisation. This report does not identify any particular risk to Council.

Financial Implications

Audit was undertaken within the 2019-20 budget.

Community Engagement

NIL

RMAC REPORT

Agenda Item Number:	8.2
Report Title:	Interim Audit Report – 2019-20
Author:	Arun Dias, Finance Manager
Recommending Officer:	Silke Maynard, Director Community and Corporate Services
Meeting Date:	1/09/2020
Attachments:	Attachment A - Interim Audit Management Letter

Executive Summary

Merit Partners conducted the interim audit for Litchfield Council in May 2020 for 2019-20. This report provides a summary of audit findings as part of the Interim audit. The findings in the interim audit on internal controls are not considered complete until the conclusion of the Final audit. In summary, three risks were identified and were given an overall 'low' risk rating.

A low risk rating requires some improvement. It is classified as a weakness which does not seriously detract from the system of internal control and/or operational effectiveness/ efficiency, but which should nevertheless be addressed by management.

Management concurs with the audit findings and will enhance and review existing processes and ensure existing internal controls are followed by reviewing audit maintenance reports for changes as part of the certifying process for Payroll and Accounts Payable. An additional check will also be carried out to increase sample testing for GST transactions.

Recommendation

THAT RMAC note and receive the Interim Audit Management Letter for 2019-2020.

Background

Merit Partners have conducted the Interim audit for 2019-2020 and have highlighted three areas of audit observations. All three areas are classified as Low risk and do not indicate any material deficiency in existing internal controls.

There has been an observation of two instances where GST was incorrectly recorded at Thorak Cemetery. Management agrees with the audit recommendations of enhancing the existing review process for coding of GST transactions. We note, whilst no single process will guarantee 100% accuracy nevertheless, the existing process as part of the Business Activity Statement (BAS) can be refined to increase the sample size of testing for accuracy of GST transactions.

The second and third audit observation relate to instances where there was one instance each of a lack of reviewing of the audit maintenance report for accounts payable and payroll.

Management agrees to the recommendations by ensuring audit maintenance reports are verified and reviewed as part of the certifying process. This provides assurance of changes to Master details in the Corporate Systems have followed and passed through all the checks and balances prior approval.

Links with Strategic Plan

A Well-Run Council - Good Governance

Legislative and Policy Implications

NIL

Risks

Risks identified in the interim audit report are rated as 'low' risk and considered to have an insignificant risk rating for the purposes of this report.

Financial Implications

NIL

Community Engagement

NIL

merit
chartered accountants

18 August 2020

PRIVATE & CONFIDENTIAL

Attention: Arun Dias

Dear Arun

Interim Audit of Litchfield Council – 30 June 2020

In order to carry out our duties and responsibilities as auditors, Merit Partners is required by ASA 260 *Communication to Those Charged with Governance* ("ASA 260"), to communicate to you setting out the following matters in respect of the audit of the above named organisation.

We have partly conducted our internal control testing procedures during our interim audit of Litchfield Council. These procedures will be completed during our final audit site visit. This letter communicates our findings from procedures conducted to date.

Internal control themes and observations

As part of our audit of the financial reports, we have obtained an understanding of internal controls sufficient to plan our audit and determine the nature, timing and extent of testing performed. Although our audit is not designed to express an opinion on the effectiveness of internal control we are required to communicate to you significant deficiencies in internal control.

The matters reported in Appendix A – Audit Recommendations are limited to those deficiencies that we identified during the audit to date and that we concluded are of sufficient importance to merit being reported to you.

This letter has been prepared for the sole use of management and others within the Council. It must not be disclosed to a third party or quoted to or referred to without our written consent. No responsibility is assumed by Merit Partners to any other person.

Yours faithfully

Matthew Kennon

Director

Appendix A Audit Recommendations

The following table summarises the key issues and their risk ranking.

	High Needs significant improvement	**Moderate** Needs substantial improvement	**Low** Needs some improvement
Internal Control Weaknesses – Receipts (Thorak)			✓
Internal Control Weaknesses - Expenses			✓
Internal Control Weaknesses - Payroll			✓

Overview of Risk Ranking System

Though we have rated each finding individually on a stand-alone basis, you should also assess the collective impact of these matters, together with other findings from within the Council.

High Needs significant improvement	**Immediate corrective action is required.** These recommendations relate to a serious weakness which exposes the Council to a material extent in terms of achievement of corporate objectives, financial results or otherwise impair the Councils reputation.
Moderate Needs substantial improvement	**Corrective action is required,** generally within 6 months. A control weakness, which can undermine the system of internal control and/or operational efficiency and should therefore be addressed.
Low Needs some improvement	**Corrective action is required,** generally within 6 to 12 months. A weakness which does not seriously detract from the system of internal control and/or operational effectiveness/efficiency but which should nevertheless be addressed by management.

Disclaimer

Issues identified are only those found within the course of our interim audit for the year ended 30 June 2020. Recommendation issues are intended solely for the use of the Council's management. We disclaim any assumption of responsibility for any reliance on this report, to any person other than the Council or for any purpose other than that for which it was prepared.

DRAFT

Appendix A Audit Observations - continued

Observation	Effect	Risk category	Recommendation	Management Response
Internal Control Weaknesses – Receipts (Thorak) We noted during our controls testing 2 instances where GST had not been recorded correctly.	Increased risk that GST is not being correctly recorded and/or reported to the Australian Taxation Office.	**Low**	We recommend that all transactions are checked to ensure that GST is correctly treated in the accounting system.	
Internal Control Weaknesses - Expenses From a sample size of 25 samples selected as part of our testing of controls over the expense process, we noted one instance in which the audit maintenance report was not reviewed. We also noted during our controls testing 2 instances where purchase orders were raised after the invoice was issued.	The absence of review of the audit maintenance report increases the risk of fraud or error. By not utilising Purchase Orders correctly there is a risk that purchases may not have been authorised by an appropriate person before being made.	**Low**	All payment and procurement policies and procedures should be adhered to.	
Internal Control Weaknesses - Payroll From a sample size of 10 samples selected as part of our testing of controls over the payroll process, we noted one instance in which the audit maintenance report was not able to be provided.	The absence of appropriate supporting documentation for transactions increases the risk of fraud or error.	**Low**	Supporting documentation and an adequate audit trail should be maintained for all transactions incurred.	

RMAC REPORT

Agenda Item Number:	8.3
Report Title:	Procurement Improvement Committee Update
Recommending Officer:	Daniel Fletcher, Chief Executive Officer
Meeting Date:	1/09/2020
Attachments:	Attachment A - PIC Outstanding Action List Attachment B - PIC Minutes 15 July 2020 Attachment C - Draft Project Management Guidelines

Executive Summary

This report provides an update on outstanding items in the Procurement Improvement Committee (PIC) action list following the last PIC meeting held in July 2020.

A total of 72 Complete and 30 In progress actions are recorded with details in the following table showing the source audit/ review documents;

Audit/ Review Document	Complete	In progress	Grand Total
2016 December Council Report	2	1	3
2017 Procurement Audit	34	6	40
2018 Probity Review	17		17
2018 Procurement Maturity Roadmap	10	11	21
2019 Contract Management Audit	1	10	11
2019 RFQ Probity Review	8		8
Risk Action Sheet		2	2
Grand Total	**72**	**30**	**102**

The minutes for the July meeting are attached to this report as Attachment B.

Recommendation

THAT RMAC:

1. Note the content of this report.
2. Note minutes from the Procurement Improvement Committee dated 15 July 2020.
3. Note the updated Procurement Improvement Committee action item list.
4. Note the Draft Project Management Guidelines document as evidence of documents in progress.

Background

The majority of the outstanding actions relate to development of the Project Management Framework and Contract Management Procedures and development of the ancillary documents under the respective framework and procedure. The development of these documents is in-progress, see Attachment C for the Draft Project Management Guidelines document. In addition, there are many actions that are complete in practice, but not incorporated into a relevant procedure or framework at this time, which does mitigate any risk to Council in relation to these areas.

Attachment A provides a list of the current outstanding action items and their status.

Key Action/Document Required	Date For Completion	Action
Complaints Policy	Aug-20	Governance - Complaints policy development
Complaints Policy Total		**1**
Contract Management Procedure	Sep-20	Contract Management - Contractor performance reports
		Contract Management - Monitor and report on KPIs
		Contract Management - Review variation procedures and implement changes as identified
		Develop a standard Progress Payments template to support the request for interim contract payments that are submitted to Directors for sign off
		Develop checklist for current and new contracts, including documentation required
		Develop Contract Management System
		Develop process of internal approval of cost variations, including written acceptance to the contractor
		Develop variation procedure and template, to be included in Project Management Framework
		Include checklist in Project Management Framework
		Include contractor performance (KPI's, reports and issues) in checklist, to be included in Project Management Framework
		Include kick-off meeting in checklist, to be included in Project Management Framework
		Include records of contractor performance in checklist, to be included in Project Management Framework
		Include site visits in checklist, to be included in Project Management Framework
		Planning - Contract expiry review and respond
		Planning - Post contract reviews pre tender
Contract Management Procedure Total		**15**
Project Management Framework	Dec-20	Contract Management - Supplier engagement surveys
		Develop Project Management Framework
		Enablers - Contract Management System planning
		Enablers - Procurement Community of Practice
		Extend the requirement for all capital projects to be supported by Project Briefs as part of the budget development process
		Include risk assessment in Project Management Framework
		Planning - Capital bids
		Require that more detailed Project Briefs are prepared and are authorised by a Director prior to commencing any procurement activity
Project Management Framework Total		**8**
Training	Dec-20	Develop and implement Conflict of Interest training for existing staff and include it in Induction Training for new staff
		Enablers - Policy / procedure training
		Implement Procurement Audit Findings
		Provide contract management training for staff
		Provide training on tender evaluation for all staff involved in procurement activities
Training Total		**5**
Authority Contracts Module Procedure	Jun-20	Set up Contracts Module in Authority with accompanying procedure
Authority Contracts Module Procedure Total		**1**

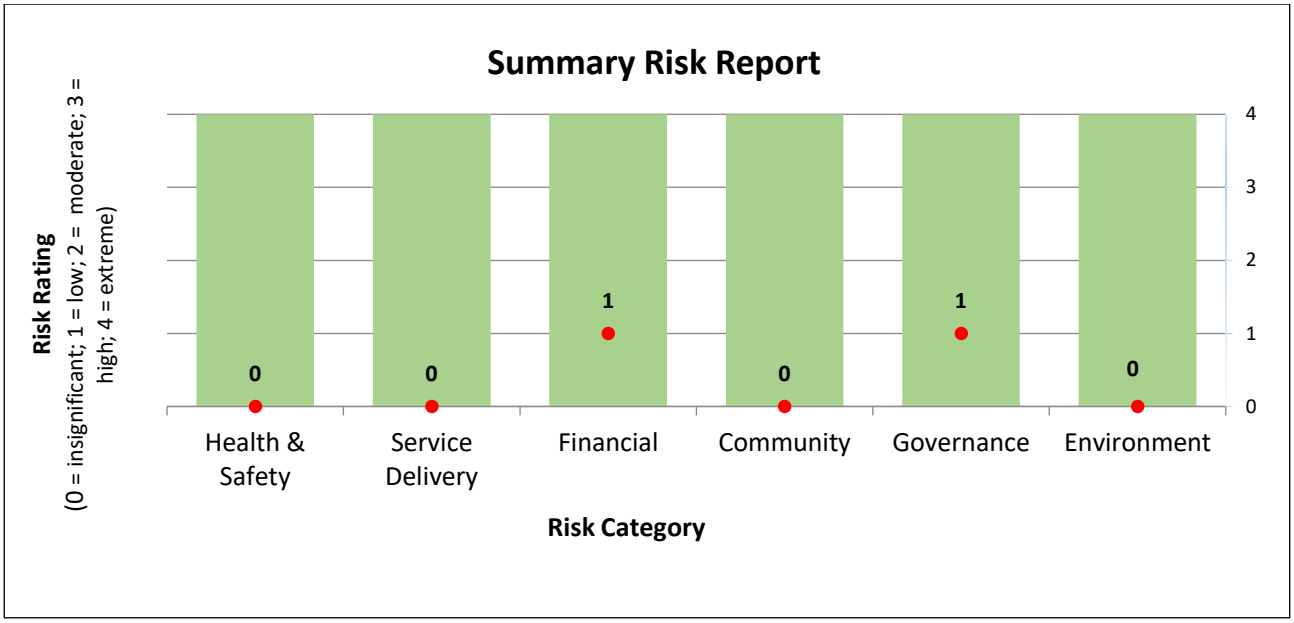
Links with Strategic Plan

A Well-Run Council - Modern Service Delivery

Legislative and Policy Implications

Nil

Risks



Whilst the associated risks involved with Procurement policies and procedures are mostly mitigated by having those policies and procedures already adopted and utilised by specific staff members there does pose a slight risk where there are outstanding actions in ensuring all staff members within Council are trained and understand these documents. This will be further mitigated once the overall Project Management Framework is finalised and distributed for teams to review and acknowledge.

Financial Implications

All activities are within existing budgets

Community Engagement

Nil Required

ATTACHMENT A

Item	Source	Source Item #	Action	Risk Priority	Due (Original)	Due (Updated)	Current Status	Responsible Officer	Key Action/Document Required	Status (for RMAC/external)
1	2017 Procurement Audit	#1	Review Strategic Plan (Principle 2) and update to incorporate references to Council Procurement Policy in Priority #4	Low	Jun-18		Complete	GRA		
2	2017 Procurement Audit	#2	Review Municipal Plan and Performance Management Framework to incorporate references to Council Procurement Policy	Low	Jun-18		Complete	GRA		
3	2017 Procurement Audit	#3	Consider the inclusion of appropriate procurement objectives in individual work plans for staff involved in procurement activities	Low	Jun-18	Jun-19	Complete	CEO		
4	2017 Procurement Audit	#4	Update the Procurement Policy to include references to the 'good governance' principle included in the Strategic Plan	Medium	Dec-17		Complete	N/A		
5	2017 Procurement Audit	#5	Develop and adopt a Conflict of Interest Policy and guidelines for procurement activities	High	Sep-17		Complete	N/A		
6	2017 Procurement Audit	#6	Develop and implement Conflict of Interest training for existing staff and include it in Induction Training for new staff	High	Sep-17	Dec-20	In progress	DIO	Training	Will be combined with training in Procurement Manual etc
7	2017 Procurement Audit	#7	Review and update Procurement Policy (FIN03) to reflect all accepted recommendations in the Review	Medium	Dec-17		Complete	N/A		
8	2017 Procurement Audit	#8	Designate an appropriate position within Council to act as a point of contact and referral for procurement activities	High	Sep-17		Complete	N/A		
9	2017 Procurement Audit	#9	Update the position description for the nominated position to reflect procurement responsibilities	Medium	Dec-17		Complete	N/A		
10	2017 Procurement Audit	#10	Develop a repository for all procurement documentation and artefacts	Medium	Dec-17		Complete	N/A		
11	2017 Procurement Audit	#11	Provide appropriate training for the procurement position based on the role responsibilities	Medium	Dec-17		Complete	N/A		
12	2017 Procurement Audit	#12	Place procurement flowcharts on Council records system and promote their availability to staff	High	Sep-17	Aug-19	Complete	GRA		
13	2017 Procurement Audit	#13	Incorporate the procurement flowcharts into the procurement training program for staff	High	Sep-17	Aug-19	Complete	FM		
14	2017 Procurement Audit	#14	Develop and implement a knowledge transfer project for critical procurement position holders	Medium	Dec-17	Aug-19	Complete	MIA		
15	2017 Procurement Audit	#15	Remind all Council staff of their record keeping responsibilities	High	Sep-17		Complete	N/A		
16	2017 Procurement Audit	#16	Include responsibility for maintaining Council's corporate record system in all position descriptions	Medium	Jun-18		Complete	CEO		
17	2017 Procurement Audit	#17	Consider the cost / benefit of updating the corporate record system with missing files, documentation and correspondence	Low	Jun-18		Complete	N/A		

Item	Source	Source Item #	Action	Risk Priority	Due (Original)	Due (Updated)	Current Status	Responsible Officer	Key Action/Document Required	Status (for RMAC/external)
18	2017 Procurement Audit	#18	Review and amend the existing Project Brief document to accommodate proposed capital projects	Medium	Jun-18	Jul-19	Complete	MIA		
19	2017 Procurement Audit	#19	Extend the requirement for all capital projects to be supported by Project Briefs as part of the budget development process	Medium	Jun-18	Dec-20	In Progress	MIA	Project Management Framework	Information currently captured informally across documents, will be included wihtin Project Management Framework. Due date amended to December 2020
20	2017 Procurement Audit	#20	Require that more detailed Project Briefs are prepared and are authorised by a Director prior to commencing any procurement activity	High	Sep-17	Dec-20	In progress	MIA	Project Management Framework	Information currently captured informally across documents, will be included wihtin Project Management Framework. Due date amended to December 2020
21	2017 Procurement Audit	#21	Amend the Procurement Policy to require that Tender Evaluation Panels (TEPs) are convened immediately once a Project Brief has been authorised	High	Sep-17	Aug-19	Complete	MIA		
22	2017 Procurement Audit	#22	Ensure that TEPs meet as a group at key milestones in the procurement process e.g. sign off of tender documentation and probity plan; tender evaluation	High	Sep-17	Jul-19	Complete	MIA		
23	2017 Procurement Audit	#23	Develop Confidentiality and Disclosure Declarations and a Probity Plan template and require them to be completed in all tenders over $100,000	High	Sep-17		Complete	N/A		
24	2017 Procurement Audit	#24	Remove weightings references and contact references from tender documentation	High	Sep-17		Complete	N/A		
25	2017 Procurement Audit	#25	Consider whether all consultancy and training costs should be subject to normal quotation and public tender rules	Low	Jun-18		Complete	N/A		
26	2017 Procurement Audit	#26	Review and change the definition of ‘cost’ in the Procurement Policy	High	Sep-17		Complete	N/A		
27	2017 Procurement Audit	#27	Review the Procurement Guide and update all tender evaluation standard documentation	Medium	Dec-17	Aug-19	Complete	DIO		
28	2017 Procurement Audit	#28	Provide training on tender evaluation for all staff involved in procurement activities	High	Dec-17	Dec-20	In progress	DIO	Training	Completion of Procurement Manual and Tender Procedure - roll out of training for all staff to occur by October 2020 with current documents.
29	2017 Procurement Audit	#29	Ensure all tender evaluation documentation is captured in the corporate records system including individual TEP members notes and explanations	High	Sep-17		Complete	N/A		
30	2017 Procurement Audit	#30	Consider Council’s position with respect to including non-qualified non-Council staff in TEPs and amend the Procurement Policy as necessary	Medium	Dec-17		Complete	N/A		
31	2017 Procurement Audit	#31	Ensure that all contract awards over $100,000 are published on Council’s web-site in accordance with Northern Territory government requirements	Medium	Dec-17		Complete	N/A		
32	2017 Procurement Audit	#32	Implement all of the recommendations included in the Council report of 16 December 2016	High	Sep-17	Jul-19	Complete	MIA		

Item	Source	Source Item #	Action	Risk Priority	Due (Original)	Due (Updated)	Current Status	Responsible Officer	Key Action/Document Required	Status (for RMAC/external)
33	2017 Procurement Audit	#33	Develop a standard Progress Payments template to support the request for interim contract payments that are submitted to Directors for sign off	High	Sep-17	Sep-20	In progress	MIA	Contract Management Procedure	Captued currently through memos required for payments. Will be formalised in Contract Management Procedure. Due date amended to September 2020
34	2017 Procurement Audit	#34	Update the Procurement Policy to reflect the financial delegation provided to the CEO	Medium	Sep-17		Complete	N/A		
35	2017 Procurement Audit	#35	Provide contract management training for staff	Medium	Dec-17	Dec-20	In progress	CEO	Training	Will occur through other identified training. Requires inclusion in Induction Training.
36	2017 Procurement Audit	#36	Review and update the Procurement Policy to reflect how Council utilises the Tenderlink system	Medium	Sep-17		Complete	N/A		
37	2017 Procurement Audit	#37	Consider holding supplier briefings once or twice a year to provide local suppliers with information on how to quote for Council business	Medium	Dec-17		Complete	N/A		
40	2017 Procurement Audit	#38	Consider a workflow alert identifying any requisitions raised which exceed the available budget	Low	Jun-18		Complete	N/A		
41	2017 Procurement Audit	#39	Consider the development of a Capital Working Group to meet regularly and provide oversight of the entire capital program	Low	Jun-18		Complete	N/A		
42	2017 Procurement Audit	#40	Review and develop appropriate reporting mechanisms to support the Capital Working Group	Low	Jun-18		Complete	N/A		
43	2016 December Council Report	1	Develop process of internal approval of cost variations, including written acceptance to the contractor		N/A	Sep-20	In progress	MIA	Contract Management Procedure	Captured currently through memos required for variations. Will be formalised in Contract Management Procedure. Due date amended to September 2020
44	2016 December Council Report	2	Documented process outlining Executive oversight of project planning stage to ensure that design elements are fit for purpose, tender schedules are complete and error-free, and provisional sums are clear			Jul-19	Complete	MIA		
45	2016 December Council Report	3	Building in to project budgets in-house labour costs for project management.			Jul-19	Complete	MIA		
46	2018 Probity Review	1	For service SOR contracts. Provide tenderers an indication of the 'indicative' quantities of services required, including a forecast of volume, which can then be also used for price comparisons in the tender evaluation.			Aug-19	Complete	MIA		
47	2018 Probity Review	2	Formal tender evaluation plan documented, beyond the generic guidance in the procurement policies/guidelines.			Jul-19	Complete	MIA		
48	2018 Probity Review	3	Consider tender opening period to be 15 working days (3 weeks)			Jul-19	Complete	MIA		
49	2018 Probity Review	4	Consider 'may' consider late tenders				Complete	N/A		
50	2018 Probity Review	5	Use tenderlink as email/contact person				Complete	N/A		
51	2018 Probity Review	6	Ensure USBs are password encrypted				Complete	N/A		
52	2018 Probity Review	7	Document consideration of probity advisor for tender				Complete	N/A		
53	2018 Probity Review	8	Minimise timeframe between evaluation individually and assessment				Complete	MIA		
54	2018 Probity Review	9	Ensure panel agree on clarification questions required to be asked of tenderers			Jul-19	Complete	MIA		

Item	Source	Source Item #	Action	Risk Priority	Due (Original)	Due (Updated)	Current Status	Responsible Officer	Key Action/Document Required	Status (for RMAC/external)
55	2018 Probity Review	10	Ensure combined assessment discusses everyones scores and considers weighted assessment				Complete	N/A		
56	2018 Probity Review	11	Ensure no discussion of the tender assessment (scoring) occurs without the full panel being present			Jul-19	Complete	MIA		
57	2018 Probity Review	12	Ensure the entire panel sees and signs recommending report and documents				Complete	N/A		
58	2018 Probity Review	13	Undertake reference checks to independently verify tender responses			Jul-19	Complete	MIA		
59	2018 Probity Review	14	Ensure reports and details are checked and correct, including dates and pricing			Jul-19	Complete	MIA		
60	2018 Probity Review	15	Provide record keeping around meetings and assessment			Jul-19	Complete	MIA		
61	2018 Probity Review	16	Ensure conflicts of interest or conflict/confidentiality declarations from the Evaluation Committee members are complete				Complete	N/A		
62	2018 Probity Review	17	Ensure contract is approved prior to advising successful contractors.				Complete	N/A		
63	2018 Procurement Maturity Roadmap	1	Governance - Policy review and changes		Jul-18		Complete	N/A		
64	2018 Procurement Maturity Roadmap	2	Governance - Complaints policy development		Jul-18	Aug-20	In progress	GRA	Complaints Policy	Policy going to Council meeting September 2020. CRM review to include review of recording.
65	2018 Procurement Maturity Roadmap	3	Planning - Contract expiry review and respond		Jul-18	Sep-20	In progress	FM	Contract Management Procedure	To be included in Contract Management Procedure. Due date amended to September 2020
66	2018 Procurement Maturity Roadmap	4	Planning - Post contract reviews pre tender		Jul-18	Sep-20	In progress	MIA	Contract Management Procedure	To be included in Contract Management Procedure. Due date amended to September 2020
67	2018 Procurement Maturity Roadmap	5	Procure - Tender template/tools update and promulgate (embed risk mgt considerations)		Jul-18	Jul-19	Complete	MIA		
68	2018 Procurement Maturity Roadmap	6	Contracting - Review and adopt NTG Contracts		Jul-18		Complete	N/A		
69	2018 Procurement Maturity Roadmap	7	Contracting - Clarify position on BAFO / Negotiation		Jul-18		Complete	N/A		
70	2018 Procurement Maturity Roadmap	8	Contract Management - Review variation procedures and implement changes as identified		Jul-18	Sep-20	In progress	MIA	Contract Management Procedure	Captured currently through memos required for variations. Will be formalised in Contract Management Procedure. Due date amended to September 2020
71	2018 Procurement Maturity Roadmap	9	Enablers - Tenderlink question forum		Jul-18		Complete	N/A		

Item	Source	Source Item #	Action	Risk Priority	Due (Original)	Due (Updated)	Current Status	Responsible Officer	Key Action/Document Required	Status (for RMAC/external)
72	2018 Procurement Maturity Roadmap	10	Governance - Document management		Nov-18	Aug-19	Complete	GRA		
73	2018 Procurement Maturity Roadmap	11	Planning - Capital plan		Nov-18		Complete	N/A		
74	2018 Procurement Maturity Roadmap	12	Planning - Collective procurement planning		Nov-18		Complete	N/A		
75	2018 Procurement Maturity Roadmap	13	Procure - Assess use of Panels/Period contracts & implement		Nov-18	Jul-19	Complete	MIA		
76	2018 Procurement Maturity Roadmap	14	Contracting - Include KPIs in contracts		Nov-18	Jul-19	Complete	MIA		
77	2018 Procurement Maturity Roadmap	15	Contract Management - Supplier engagement surveys		Nov-18	Dec-20	In progress	MIA	Project Management Framework	To be included in Project Management Framework. Due date amended to December 2020
78	2018 Procurement Maturity Roadmap	16	Contract Management - Contractor performance reports		Nov-18	Sep-20	In progress	MIA	Contract Management Procedure	To be included in Contract Management Procedure. Due date amended to September 2020
79	2018 Procurement Maturity Roadmap	17	Enablers - Procurement Community of Practice		Nov-18	Dec-20	In progress	MIA	Project Management Framework	To be included in Project Management Framework. Due date amended to December 2020
80	2018 Procurement Maturity Roadmap	18	Enablers - Policy / procedure training		Nov-18	Dec-20	In progress	CEO	Training	Will occur through other identified training. Requires inclusion in Induction Training.
81	2018 Procurement Maturity Roadmap	19	Planning - Capital bids		Mar-19	Dec-20	In progress	MIA	Project Management Framework	To be included in Project Management Framework. Due date amended to December 2020
82	2018 Procurement Maturity Roadmap	20	Contract Management - Monitor and report on KPIs		Mar-19	Sep-20	In progress	MIA	Contract Management Procedure	To be included in Contract Management Procedure. Due date amended to September 2020
83	2018 Procurement Maturity Roadmap	21	Enablers - Contract Management System planning		Mar-19	Dec-20	In progress	MIA	Project Management Framework	To be included in Project Management Framework. Due date amended to December 2020
84	2019 RFQ Pro**bi**ty Review	1	Conflict of interest and confidentiality - ensure potential conflicts are identified by all members involved in the procurement			Jun-19	Complete	DIO		
85	2019 RFQ Probity Review	2	Evaluation Plan to be signed by all members prior to tender closing			Jul-19	Complete	MIA		
86	2019 RFQ Probity Review	3	Ensure criteria is disclosed in all RFQ and RFT documents			Jul-19	Complete	MIA		
87	2019 RFQ Probity Review	4	Contact email - utilise Tenderlink or Localbuy forums			Aug-19	complete	MIA		
88	2019 RFQ Probity Review	5	Localbuy - review contract terms of localbuy prior to procurement process			Jul-19	complete	MIA		
89	2019 RFQ Probity Review	6	Referee checks undertaken by panel member, or panel member is present			Aug-19	Complete	MIA		
90	2019 RFQ Probity Review	7	Cross-check accuracy of report against process undertaken			Jul-19	Complete	MIA		

Item	Source	Source Item #	Action	Risk Priority	Due (Original)	Due (Updated)	Current Status	Responsible Officer	Key Action/Document Required	Status (for RMAC/external)
91	2019 RFQ Probity Review	8	Evaluation spreadsheet has errors within it			Jul-19	Complete	MIA		
92	2019 Contract Management Audit	3.1.1	Develop Project Management Framework	Medium	Dec-19	Dec-20	In progress	MIA	Project Management Framework	To be included in Project Management Framework. Due date amended to December 2020
93	2019 Contract Management Audit	3.1.2	Include procurement / contract handover in Project Management Framework	Medium	Dec-19	Jun-20	Complete	MIA		
94	2019 Contract Management Audit	3.1.3	Include risk assessment in Project Management Framework	Medium	Dec-19	Dec-20	In progress	MIA	Project Management Framework	To be included in Project Management Framework. Due date amended to December 2020
95	2019 Contract Management Audit	3.2.1	Set up Contracts Module in Authority with accompanying procedure	Medium	Dec-19	Jun-20	In progress	MIA	Authority Contracts Module Procedure	Contracts module in place, procedure required.
96	2019 Contract Management Audit	3.3.1	Develop checklist for current and new contracts, including documentation required	High	Aug-19	Sep-20	In progress	MIA	Contract Management Procedure	Checklist prepared. Occuring in practice, due date amended to September 2020 to enable Contract Management Procedure to be completed
97	2019 Contract Management Audit	3.3.1	Include checklist in Project Management Framework	High	Dec-19	Sep-20	In progress	MIA	Contract Management Procedure	Checklist prepared. Occuring in practice, due date amended to September 2020 to enable Contract Management Procedure to be completed
98	2019 Contract Management Audit	3.3.2	Include kick-off meeting in checklist, to be included in Project Management Framework	Medium	Aug-19	Sep-20	In progress	MIA	Contract Management Procedure	Checklist prepared. Occuring in practice, due date amended to September 2020 to enable Contract Management Procedure to be completed
99	2019 Contract Management Audit	3.3.3	Include site visits in checklist, to be included in Project Management Framework	High	Aug-19	Sep-20	In progress	MIA	Contract Management Procedure	Checklist prepared. Occuring in practice, due date amended to September 2020 to enable Contract Management Procedure to be completed
100	2019 Contract Management Audit	3.3.4	Develop variation procedure and template, to be included in Project Management Framework	High	Aug-19	Sep-20	In progress	MIA	Contract Management Procedure	Captured currently through memos required for variations. Will be formalised in Contract Management Procedure. Due date amended to September 2020
101	2019 Contract Management Audit	3.4.1	Include contractor performance (KPI's, reports and issues) in checklist, to be included in Project Management Framework	Medium	Aug-19	Sep-20	In progress	MIA	Contract Management Procedure	To be included in Contract Management Procedure. Due date amended to September 2020
102	2019 Contract Management Audit	3.4.2	Include records of contractor performance in checklist, to be included in Project Management Framework	Medium	Aug-19	Sep-20	In progress	MIA	Contract Management Procedure	To be included in Contract Management Procedure. Due date amended to September 2020

Procurement Improvement Committee Action List

Item	Source	Source Item #	Action	Risk Priority	Due (Original)	Due (Updated)	Current Status	Responsible Officer	Key Action/Document Required	Status (for RMAC/external)
A1	Risk Action Sheet	RP9	Implement Procurement Audit Findings		Jun-18	Dec-20	In progress	DCCS	Training	Underway as per actions identified. Completion of documents and training will resolve identified outstanding actions.
A2	Risk Action Sheet	RP14	Develop Contract Management System		Jun-18	Sep-20	In progress	DIO	Contract Management Procedure	Underway as per actions identified
A3	Risk Action Sheet/Other		Develop Procurement Manual		43678		Complete	MIA		

MINUTES

PROCUREMENT IMPROVEMENT COMMITTEE MEETING

Notice of Meeting
to be held in Executive Conference Room
on Wednesday, 15th July 2020

Daniel Fletcher
Chief Executive Officer

Number	Agenda Item
1	Welcome

David Jan (MOE), Phil Joyce (MIA), Arun Dias (FM), Charissa Wust (WA), Silke Maynard (DCCS), Daniel Fletcher (CEO)

2 Apologies

Governance & Risk Advisor

3 Disclosures of interest

Nil

4 Outstanding Action Items

4.1 Vendor Panel proposal

MIA to provide update regarding suitability of system

Not progressed.
ACTION:
Report to be presented to next PIC, Wednesday 14th October 2020, 9am.
To include:

1. Authority options completed first (FM), then;
2. Another SaaS program (MIA).

Links to item #65 of PIC

4.2 Confirm Risk Register updated by GRA

Completed.
https://infoXpert.edrms/docs/CORPORATE%20MANAGEMENT/RISK%20MAN

AGEMENT/Risk%20Register/Risk%20Profile%20%20Reporting%20Tool.xlsm?Login=True

4.3 Confirm training requirements as determined by MIA and FM

UPDATE:
Not progressed

ACTION:
Training for ALL STAFF to be undertaken and completed by next PIC, Wednesday 14th October 2020, 9am.

1. Leadership Team meetings and
2. All staff meetings

5 Ongoing Action Items

5.1 Action Sheet

https://infoXpert.edrms/docs/CORPORATE%20MANAGEMENT/MEETINGS/Procurement%20Improvement%20Committee/PIC%20Improvement%20Actions.xlsx
Review – Due dates and timeframes
Outstanding/ Overdue Actions

REVIEWED AND UPDATED.

5.2 Consideration of KPIs for Reporting Purposes

Actions from previous meeting; FM and MIA to circulate reports as follows;

a. *Insufficient quotes (FM)*
b. Split orders (FM)
c. Purchases where purchase order issued below procurement threshold and total invoices resulted above threshold ($10,000, $100,000) (FM)
d. Total contact cost relative to awarded value (MIA)

FM will provide update regarding reporting
MIA to provide update

ACTION:
A & B: Completed.
C: Carolyn update. It's possible but requires more time.

FM to circulate reports (A&B) to PIC and Jaimie to add as standing agenda items for PIC.

UPDATE:
MIA – information difficult to get out of system.

ACTION:
MIA to provide report outcome to PIC

6 General Business

7 Next Meeting

Wednesday 14th October 2020, 9am

Project Management Guidelines

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Before you Start

Do you need assistance in managing a basic project (e.g. the project is low risk, low cost or has a short timeframe)?

If your answer to this question is 'Yes', then you may only need the **MINI project plan** which is available in the Suite of Templates listed at the end of these guidelines.

The **MINI project plan** is a minimum requirement to assist you in managing a project at Council.

DO YOU NEED ASSISTANCE IN MANAGING A MORE COMPLEX PROJECT?

If your answer to this question is 'Yes', then please consider these guidelines in more detail as it outlines project management phases and provides you with a large range of supporting templates to assist you.

SOME TIPS ON HOW TO USE THESE GUIDELINES

Hyperlink to further information about a concept.
Checkpoints. Suggestions on processes to complete at the end of a project lifecycle phase.
Hyperlink to a template.
Glossary.

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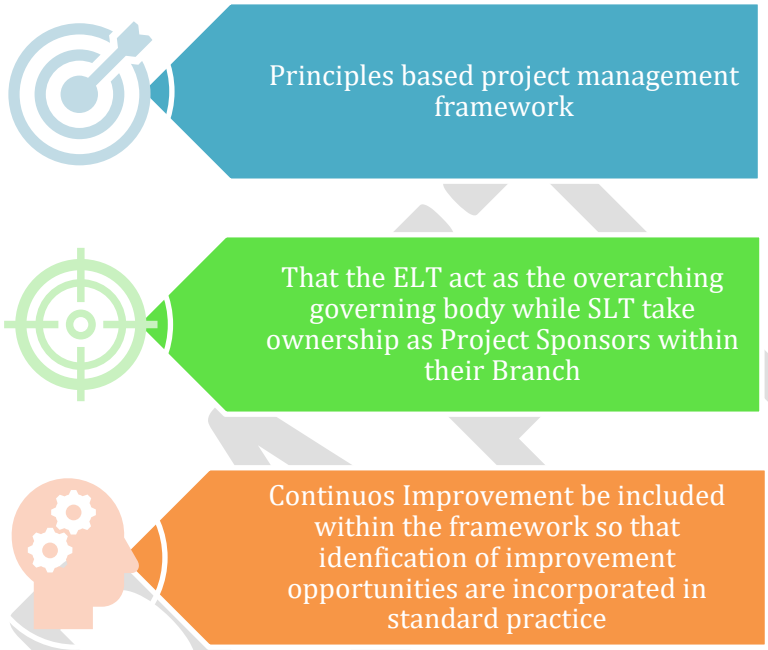
i. Background

The importance of having an established standardised corporate approach to project management practices it critical to successful project management. The key principles the Litchfield Council Project Management approach is based on include:

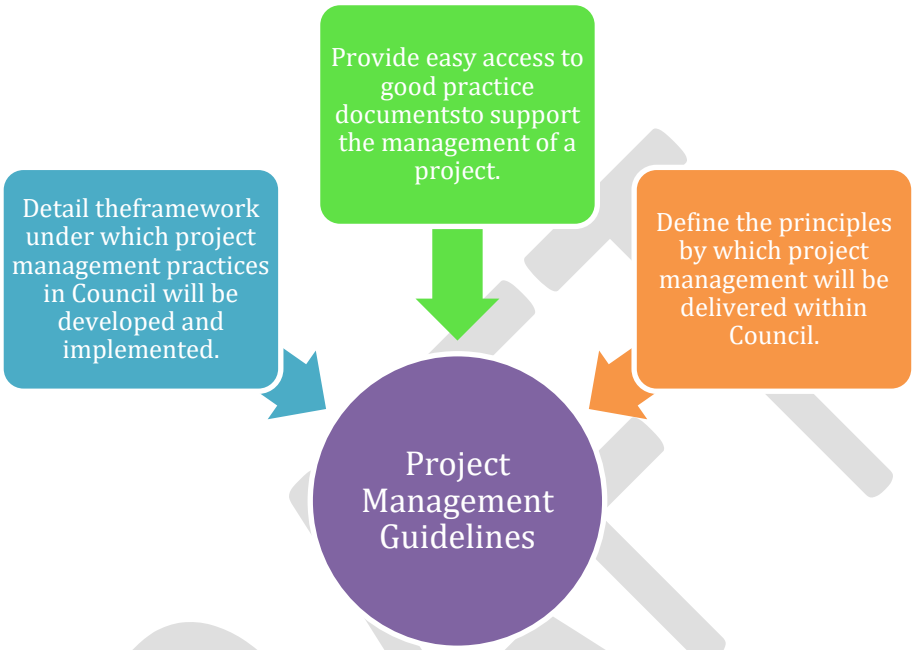


An internal working group is to be established to assist in the development of the project management approach that will achieve the needs our Council.

The guidelines and principles were developed by the internal working group of staff from across the organisation and were endorsed by ELT on xx xx xx. A formal review of these guidelines is conducted yearly by the SLT to ensure that best practice is being adhered to and any improvement opportunities have been actioned.

ii. Purpose of these Guidelines

The primary purpose of these guidelines is to:



In addition to the above, these guidelines will help:

- Promote a consistent and corporate wide approach to project management.
- Promote a cycle of continuous improvement in the management of Council projects.
- Promote stakeholder engagement.
- Embed standardised risk management practices.
- Embed improved performance management practices

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SECTION 1 – PROJECT MANAGEMENT OVERVIEW

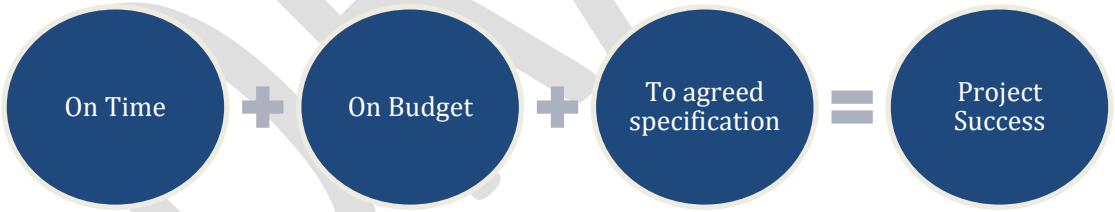
As a Council employee in today's fiscal economic environment, you face significant challenges in completing your work in a way that reduces cost and wastage, but at the same time, adds value to either the community or the organisation.

Good project management practice is crucial to the success of any local government and is a highly valued and transferable skill for any employee. These guidelines provide advice and resources to help build your project management practice and to promote project success.

Project management planning also enables you and your team(s) to have a consistent understanding of any project and its progress to date. Project management planning is extremely important for succession planning. Project management plans allow new staff or new project team members to be orientated in an efficient way to the purpose and benefits of a particular project and what work needs to be completed in order to achieve project success.

1.1 What is Project Management?

Project management is the use of a disciplined approach to the planning, implementation and monitoring of resources to ensure a project is successfully completed. Project success has been achieved when the following criteria have been met:



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1.2 What is a Project?

A project is a **temporary** piece of work that creates a unique product, service or result. When a project has been approved to commence, a project manager is assigned to the project and is delegated responsibility and authority to manage the project in order to deliver to agreed specification, schedule and budget. Projects are not just about bricks and mortar, but can be any activity that has clearly defined start and end dates and can be for example:

1.3 Project Management Methodology?

There are a range of different approaches to project management. Some project management methods include PMBOK (Project Management Book of Knowledge), Prince2, Agile, Critical Chain, Process-based and Benefits realisation. At Litchfield Council, we have drawn on PMBOK to create our own customised project management methodology. The purpose of these guidelines is to outline the project management method used by Litchfield Council.

1.4 What is a Project Lifecycle?

Every project has a lifecycle. The lifecycle spans from the beginning to the end of the project's life. In project management practice, projects are best managed in phases (otherwise known as stages). Different project management methods use different terminology to explain their lifecycle phases and can differ in the number of phases they use to manage a project. At Litchfield Council, we use a **FOUR PHASE LIFECYCLE** to manage projects. Our four-phase lifecycle is compared with the PMBOK lifecycle in the illustration below:

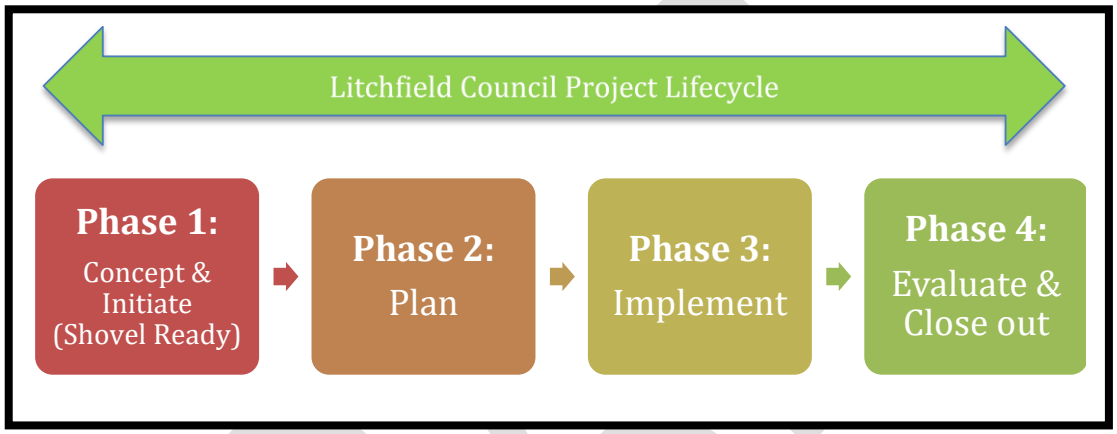

Figure 1: Litchfield Council Project Management Project Lifecycles

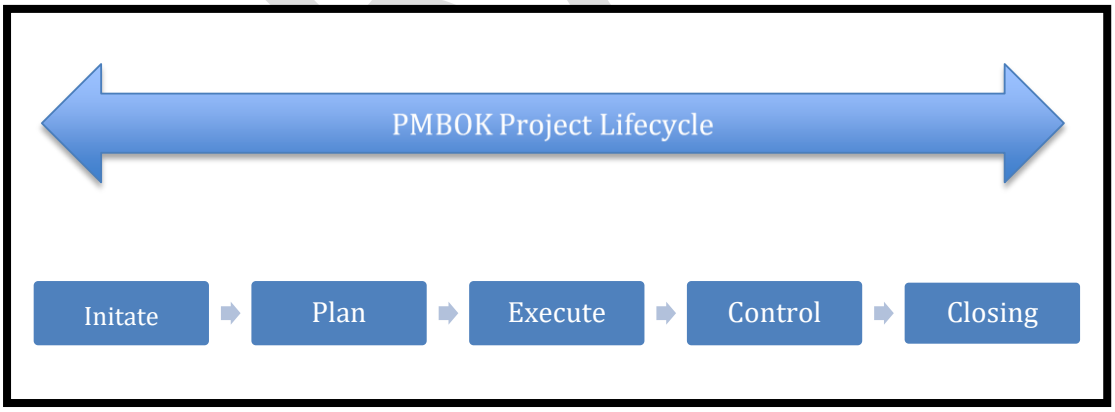

Figure 2: PMBOK Project Lifecycles

SECTION 2 – THE PHASES OF THE PROJECT LIFECYCLE

As you can see from Figure1, the project lifecycle used at Litchfield Council is very similar to the PMBOK phases. We will now discuss each phase of Council's project lifecycle.

2.1 Phase 1 – Concept and Initiate

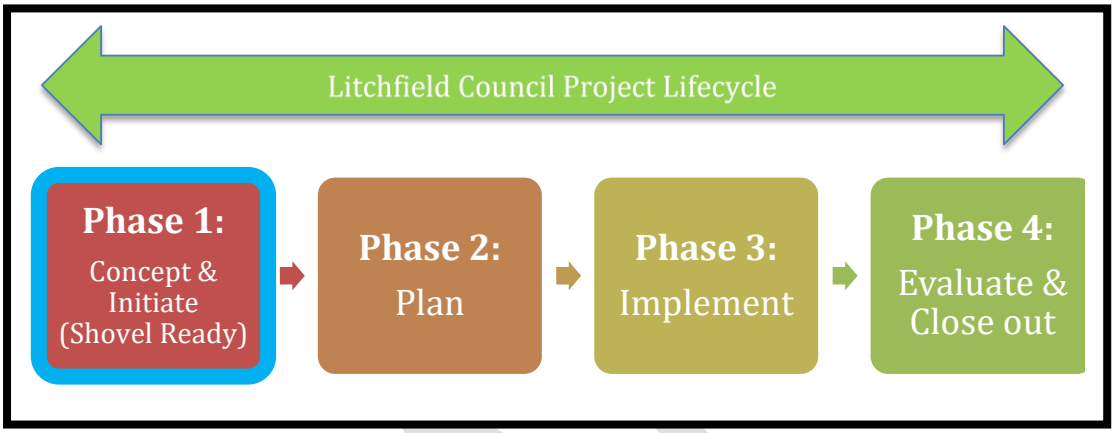

Figure 3: Phase 1

A PROJECT ALWAYS BEGINS AS A CONCEPT and therefore, phase 1 commences at the concept stage. Some projects are approved at concept stage without the need to establish a business case. For other projects, a business case may be sought before approval to commence a project is given.

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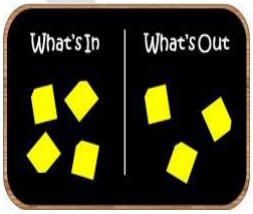
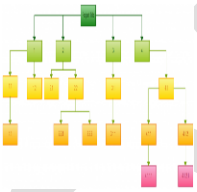
A Business Case is a document that builds an argument in order to gain approval to commence a project. The business case outlines the purpose, needs and benefits of the project.

During the concept stage, a Feasibility Study is sometimes completed to help establish the need for and benefits of a project. In a feasibility study, there is a discussion on whether there is sufficient knowledge/expertise, resources, capability/technology to undertake the project.

A Project Charter and Preliminary Scope Management Plan (PSMP) can also be completed in this phase. A project charter is usually used for three different reasons: authorizing the project, providing a high-level overview and identifying the main stakeholders. By contrast, a PSMP is a broad outline of the project and how it will be delivered and managed.

The PSMP will include a Scope statement. A scope statement lists among other things: the justification, description of the scope of the project, acceptance criteria, deliverables, exclusions, constraints and assumptions.





The PSMP also outlines a Work Breakdown Structure, resources, risks, stakeholders, ROM Cost Estimate and Time Estimates. If the project is approved to proceed, the PSMP will go on to inform the project plan which is developed in the planning phase (phase 2) of a project.

Once approval (project authorisation) has been given to commence a project, the **project sponsor** and **project manager** will need to be formally appointed. These two positions have a significant role in communicating to stakeholders that the project has commenced, its benefits to the organisation and the level and extent of stakeholder involvement and commitment.

Once the project has been formally communicated to the organisation, a Kickoff meeting can be organised which allows the newly formed project team to meet with the client, sponsor and project manager and to ensure all team members have a clear understanding of the purpose and scope for the project.

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Phase 1 finishes with an authorisation to proceed (Decision Gate) to the next phase of the project lifecycle (phase 2: plan).

CHECKPOINT

Some key steps that may need to be completed in phase 1: (Concept & Initiate)

- ✓ Complete a Business Case to justify a project
- ✓ Finalise the Project Charter to gain organisational support and commitment
- ✓ Develop a Preliminary Scope Management Plan which includes:
  - Scope statement
  - Project team structure and authorities
  - Work breakdown structure
  - Cost and time estimates
  - Broadly identify project AND safety risks
  - List possible stakeholders
  - Identify procurement requirements
  - Change authorisation - authority to make changes and to what level
- ✓ Assign the project sponsor, project manager and project team
- ✓ Hold the project kick-off meeting
- ✓ Seek approval to proceed to phase 2 of the project

2.2 Phase 2 – Plan

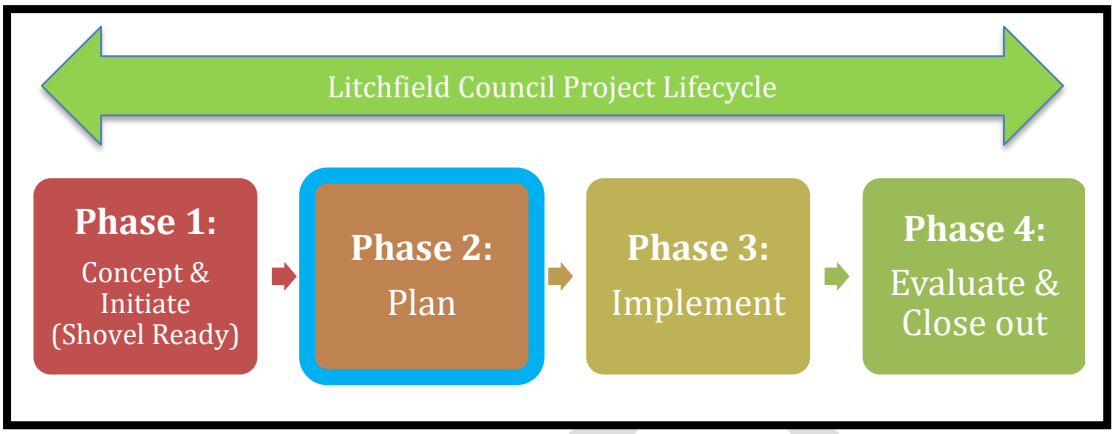
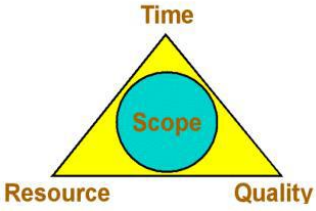


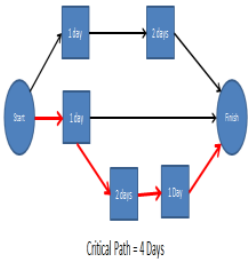
Figure 4: Phase 2

THE PLAN PHASE COMMENCES once the Concept & Initiate phase has been completed and approval has been given to proceed. The purpose of the Plan phase is to build more detail around the project activities, stakeholder needs, project risks and resource requirements that were initially documented in the PSMP.

THE PROJECT MANAGEMENT PLAN TEMPLATE is used for this purpose (available via Word templates by opening a new Word Document ie: New/Office of the CEO folder/Project Management Plan Template). The project plan has a significant number of components that need to be detailed and recorded to manage the project. If a PSMP has been developed for the project, you can copy the information into the project plan and then add more detail to each section if needed.

The **PROJECT SCOPE** needs to be clearly defined in the project plan. This includes outlining the project objectives and key deliverables, the inclusions and exclusions, start and end dates, project milestones and the work breakdown schedule (WBS).

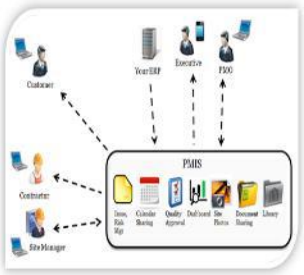




The Work Breakdown Structure will include the Performance Measurement Baseline which in turn highlights the Critical Path. This will need to be finalised to enable accurate time estimates, resource estimates and a detailed cost estimate. A detailed cost estimate is a more accurate budget that would have a variance of no more than +/- 5% of the actual budget.

The governance structure also needs to be recorded including the roles, responsibilities and decision-making authorities of each role. The project plan should document the

access point for the location of the Project Information System (PIS). In Council, the general PIS is a file created in INFOREXPERT where all relevant information, documentation and knowledge generated for the development, delivery and evaluation of the project is stored. Good record keeping is essential for managing projects particularly in the event that a **RIGHT TO INFORMATION** application is submitted by an external stakeholder. Good **RECORDS MANAGEMENT** is a requirement under the Public Records Act (2002).



The project plan should also list any other supporting plans that will need to be created to support success in project delivery. These plans can be integrated into the project plan for small projects or can be stand-alone supporting plans. Some supporting plans can include: risk management plan, communication plan, Quality Plan and a procurement plan.

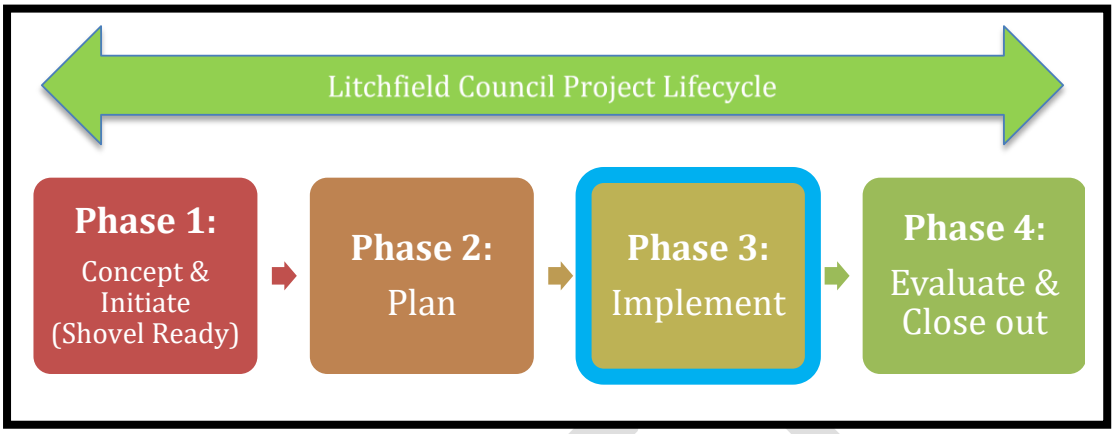
Once the project plan and any required support plans have been completed, the end of this phase requires an authorised person to sign off on the project plan and seek approval to proceed (Decision Gate) to the next phase.

CHECKPOINT

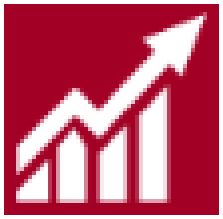
Some key steps that may need to be completed in Phase 2: (Plan)

- ✓ Develop the Project Information System (new file in DM)
- ✓ Finalise the project management plan.
- ✓ Seek approval to proceed to phase 3 of the project
- ✓ Finalise the communication plan.
- ✓ Complete a quality plan.
- ✓ Complete the risk management plan.
- ✓ Finalise procurement. (refer to the Procurement Manual on the buzz)
- ✓ Develop a detailed cost estimate (budget) and resource list
- ✓ Seek approval to proceed to the next lifecycle phase.

2.3 Phase 3 - Deliver

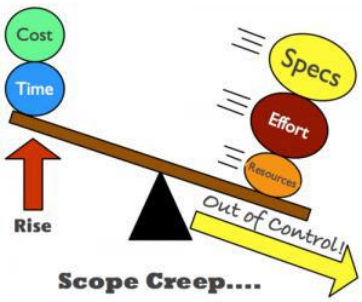


THE IMPLEMENT PHASE is the most productive of all the phases of the lifecycle.



It focuses on execution and control of the project through the implementation of key deliverables and outputs. This phase includes the ongoing management of stakeholders, risks, quality, resources, issues and reviews. Monitoring and reporting performance are a crucial component of this phase. Regular quality checks should occur during the Implement phase to ensure that the project is on track. As a minimum, major projects and their milestones must be captured and reported in Council's Quarterly Performance Update, minor projects reported to the ELT.

This phase is all about managing the project to keep it on schedule, to budget and to agreed specification. Throughout the implement phase, there may be changes and amendments and these need to be recorded and communicated to the project team. It is very important to **MANAGE THE SCOPE** of the project, as there is a significant risk of Scope Creep in this phase.



A change to scope needs to be addressed immediately. Any **CHANGE TO SCOPE MUST BE AUTHORISED** by the project sponsor and will require a new schedule and budget to be developed. A change of scope also requires that the project plan be updated. It is extremely important that the project manager controls and manages change throughout the life of the project. Therefore, Change Control is very important to project management.

During the implementation phase, it is extremely important to conduct **INTERIM PROJECT TEAM MEETINGS** to keep the team informed of progress, acknowledge achievements and thank team members. This will help maintain a positive attitude within the team. Once this phase has been completed, seek approval to proceed (Decision Gate) to the final phase.

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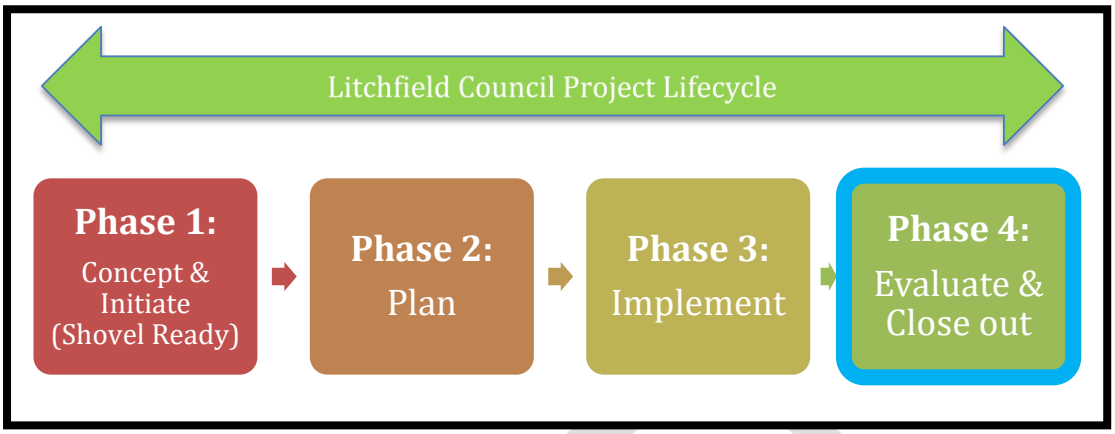
CHECKPOINT

Some key steps that may need to be completed in Phase 3: (Implement)

- ✓ Update project management plan when necessary
- ✓ Update change control plan when necessary
- ✓ Seek approval to proceed to phase 4 of the project
- ✓ Conduct monitoring meetings
- ✓ Complete progress and performance reporting
- ✓ Review issues and modify processes where necessary
- ✓ Provide appropriate project updates to relevant stakeholders
- ✓ Complete mid-term evaluations if necessary

2.4 Phase 4 – Evaluate and Close



THE FINAL PHASE of the project lifecycle is important for continuous improvement. This phase involves the assessment and reporting of results of the project such as achievements, issues, consequences, ongoing implications and lessons learnt. Attention should also be given in this phase to tying up any loose ends to the project before formal closure of the project.

THE EVALUATION and closure section are located at the end of the project plan template and must be completed as part of the project evaluation. If consultants were used for the project, the consultant evaluation section also needs to be completed and is also found at the end of the project plan template.

For projects that involve a project team, it would be important and worthwhile to have a **CLOSURE MEETING,** acknowledging achievements and thanking everyone for their effort.

You may also be required or feel it beneficial to conduct an evaluation survey with some of the relevant stakeholders and the project team itself to gain **FEEDBACK** on how the project was managed or, for example, the effectiveness of the engagement techniques. The Community Engagement Program can provide advice on how to arrange a survey.

There might be a requirement to complete a stand-alone **EVALUATION REPORT** by the project sponsor. Therefore, stand-alone evaluation reports can also be developed during this final phase of the project. Evaluation reports are also known as close out reports, closure reports or project closure report. To see an example of a stand-alone evaluation report, you can access the example Evaluation Report.

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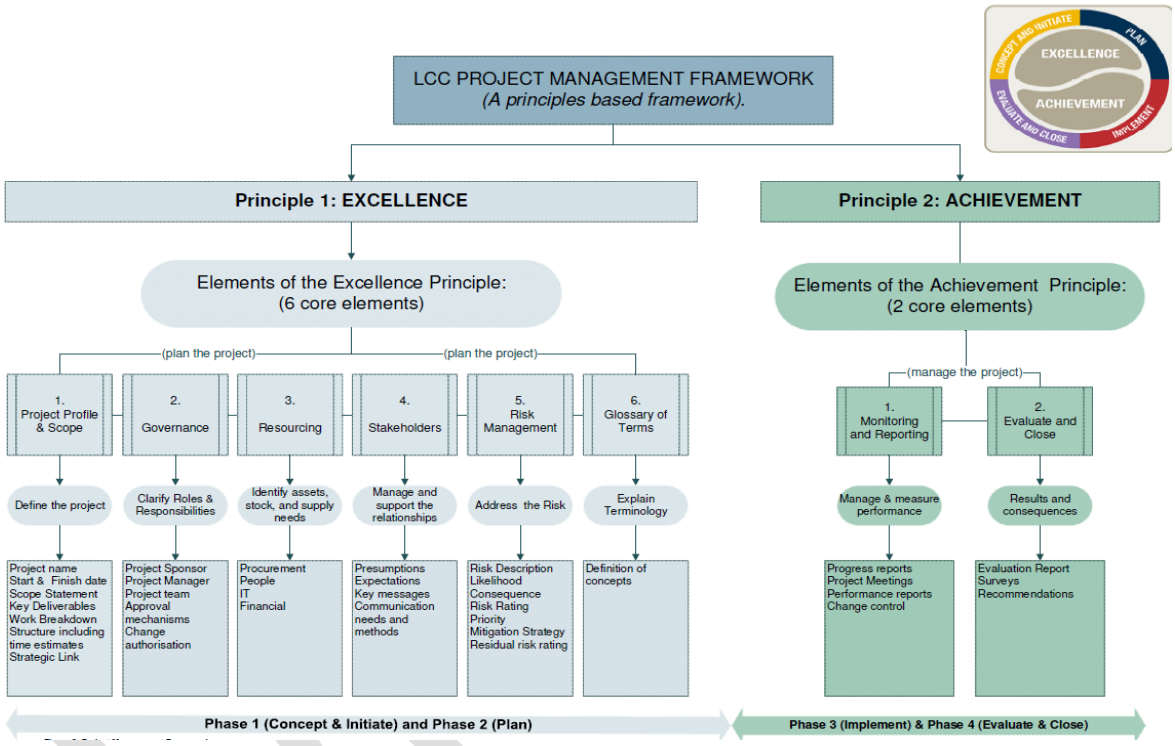
CHECKPOINT

Some key steps that may need to be completed in Phase 4: (Evaluate and Close)

- ✓ Complete project evaluation and closure section of your project plan template
- ✓ Formal acknowledgement and thanks to project team and stakeholders
- ✓ Conduct evaluation survey if necessary
- ✓ Stand-alone evaluation report if required

SECTION 3 – PROJECT MANAGEMENT FRAMEWORK

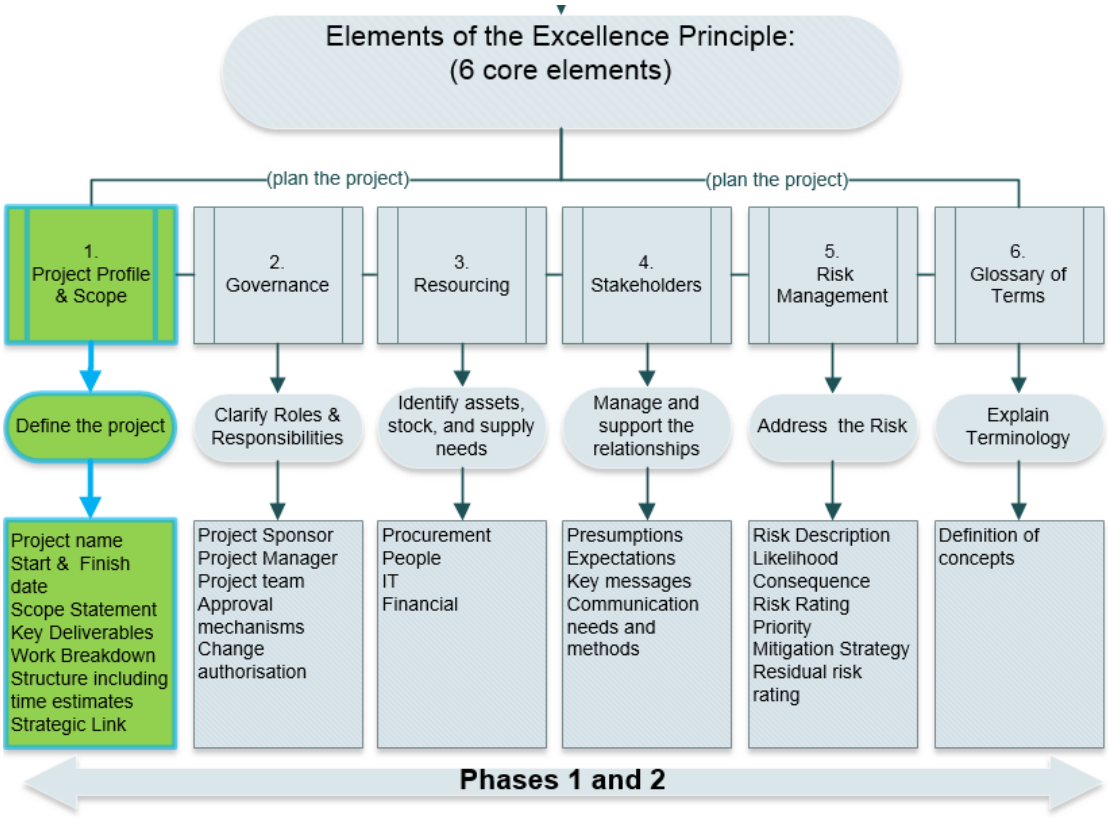
The Project Management Framework (see figure 6 below) was developed to enable Council to deliver a consistent and coordinated approach to project management throughout the organisation. The framework, which has been developed to reflect the project lifecycle phases, incorporates two principles (Principle 1 - Excellence and Principle 2 - Achievement). Each principle has several core elements which are described on the following pages.



3.1 Principle 1 – Excellence

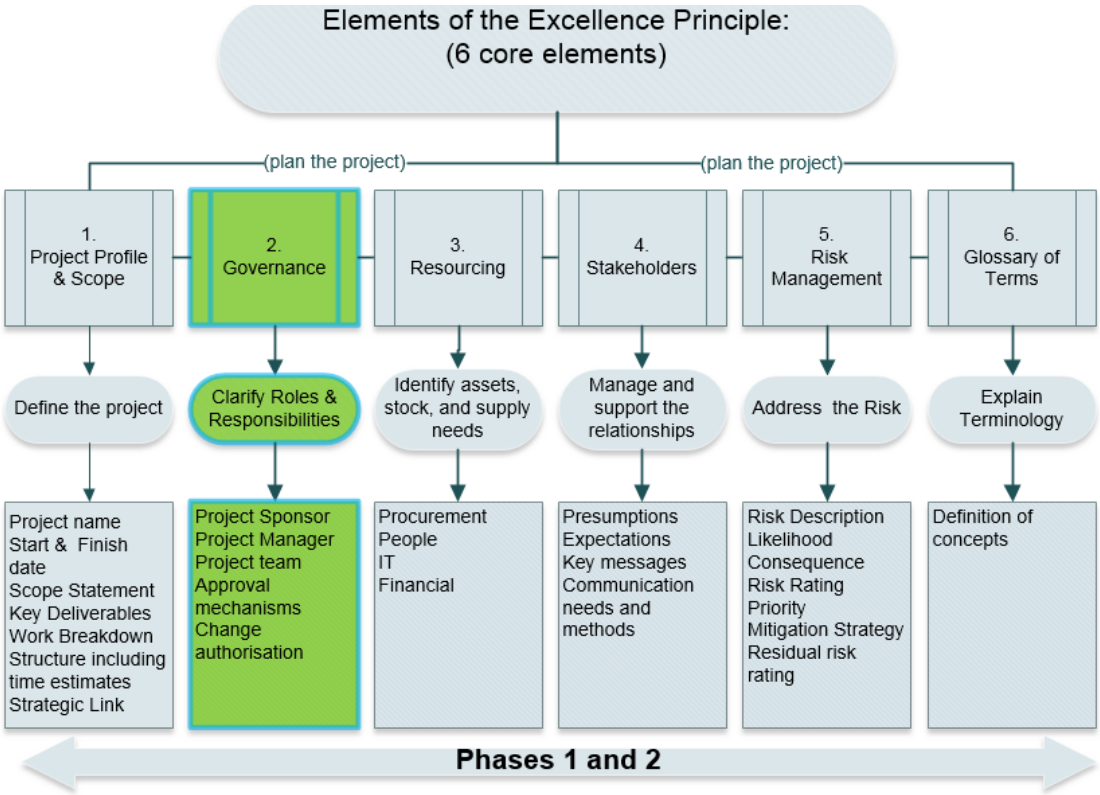
The principle of Excellence is addressed in phases 1 and 2 of a project's lifecycle (i.e. Phase 1: Concept/Initiate and Phase 2: Plan). There are **six core elements** that help define excellence in our project management framework. Each core element is described below:

Principle 1: Element 1 – Project Profile and Scope



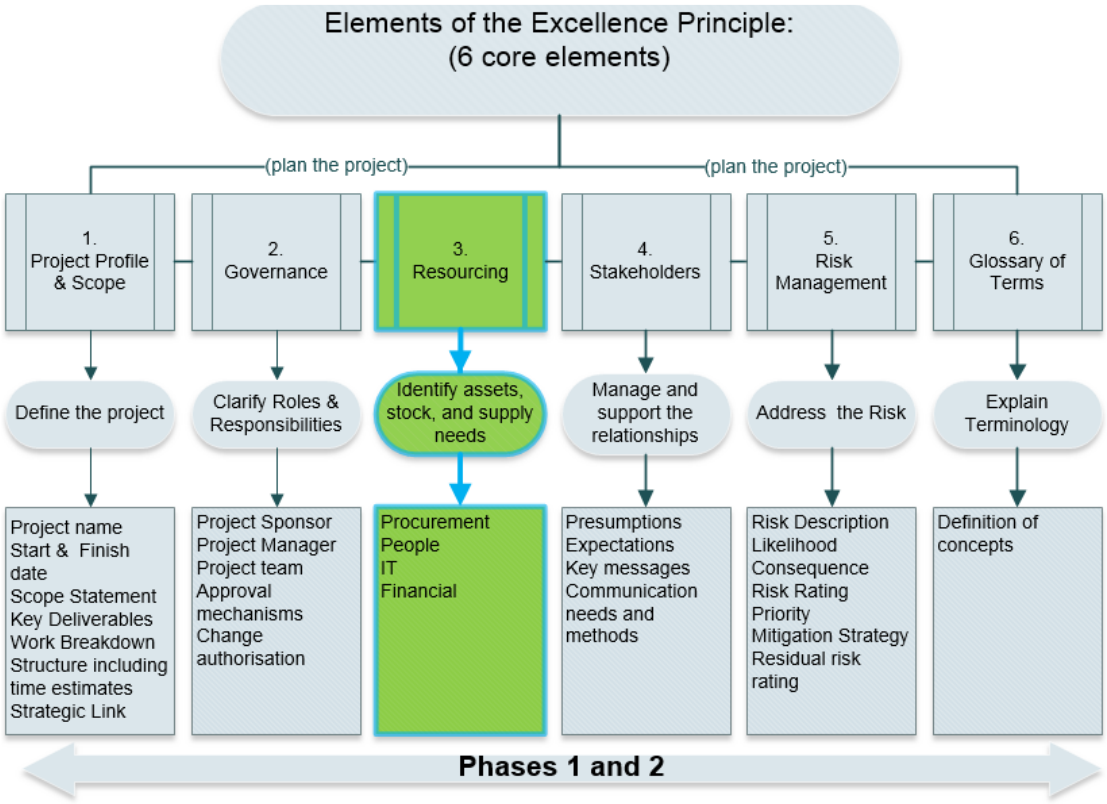
This element is about **DEFINING THE PROJECT**, naming the project, confirming the start and finish dates and finalising the Scope Statement . You may consider referring to background information, results of feasibility studies and any other relevant research to clarify the need for the project. You would be outlining the key milestones of the project and the WBS including time estimates. For this element, you would also determine how or if the project has a strategic link to Strategic Plan 2018 – 2022 or the Annual Municipal Plan.

Principle 1: Element 2 – Governance



This element is about detailing the **ROLES AND RESPONSIBILITIES** of the project team. It is also about clarifying the roles and expectations of the project manager and sponsor. Expectations around decision making and approval processes will also need to be clarified and documented. You will also document the processes and procedures for making any new or unplanned changes (change control) during the life of the project.

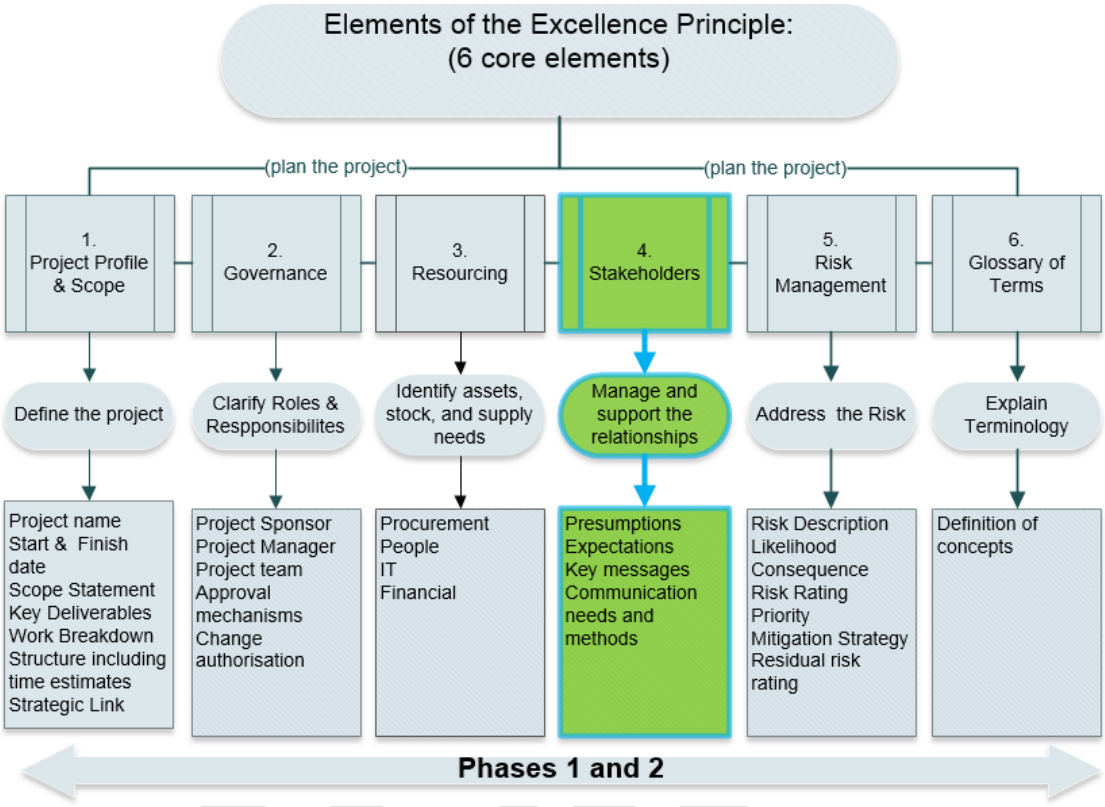
Principle 1: Element 3 – Resourcing



This element details the **RESOURCES** required for the project. Having people with the appropriate skills and capabilities to carry out the project work is essential. Consider existing skills and capabilities within your own team and the support of people from other branches before looking for external resources. Financial resources must also be considered and documented.

The **BUDGET** estimates must be more accurate and you would move from the Rough Order of Magnitude (ROM) estimate (-25%/+40%) established in the Concept stage to a definitive estimate, which is a more accurate estimate of all financial costs to within a variance of -5/+10%. Also consider what technological or other physical resources are required to ensure the success of the project. It is also important at this time to consider any resourcing risks associated with the project, so that more detailed assessments can occur in the Plan phase of the project. When you are required to use external suppliers or consultants for a project, you will be required to follow corporate requirements for procurement.

Principle 1: Element 4 – Stakeholders

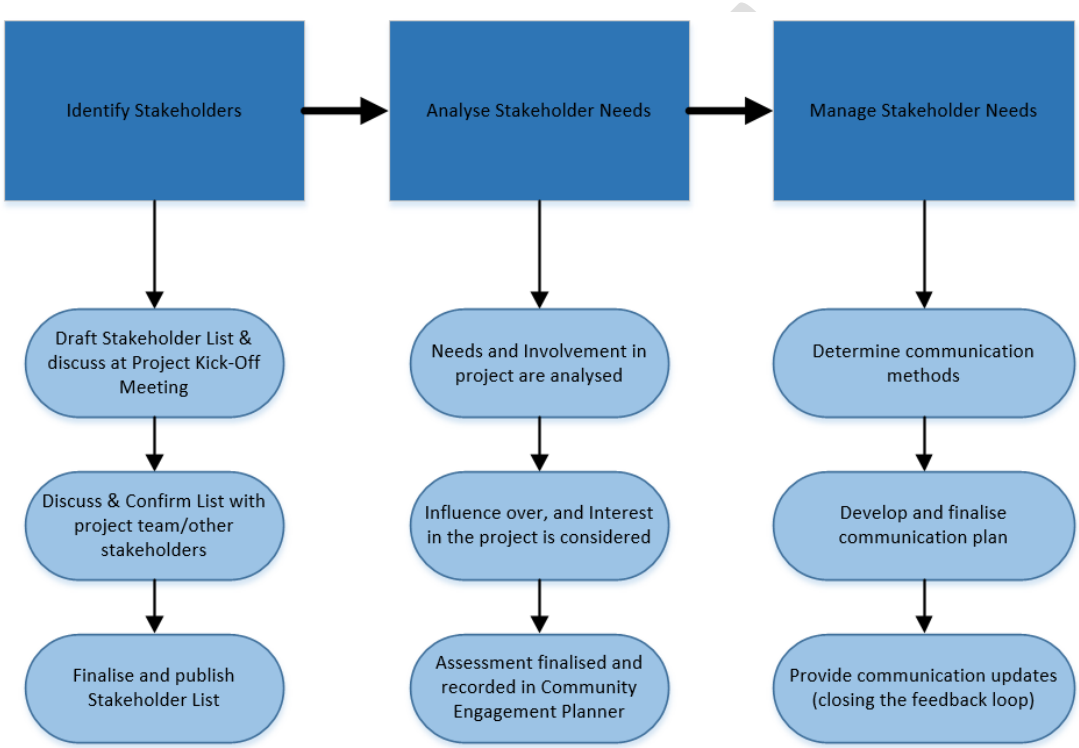


This element considers both **INTERNAL AND EXTERNAL STAKEHOLDERS** who contribute to, have an interest in, or may be impacted by the project. Details captured for this element include clarifying who the relevant stakeholders are, how they are to be engaged and the type and frequency of communication and feedback mechanisms. A Community Engagement Assessment needs to be conducted and this must occur in consultation with the Community Engagement Program. For small or non-complex projects, the community engagement mini planner can be used.

Key cause of project failure = Poor Stakeholder Management

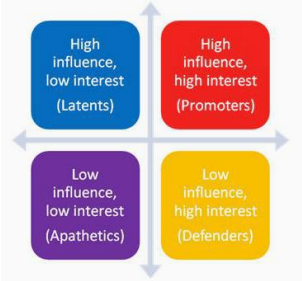
The most important factor of project success is the quality of the human relationships directly or indirectly involved in the project. Most projects that fail to achieve project success (on time, on budget, to specification), fail because of the poor management of human relationships. Relationships must be proactively managed to ensure the best chance of project success. As a project manager, you need to remember the golden rule: **'ENGAGE THE RIGHT PEOPLE IN THE RIGHT WAY'**. The Community Engagement Program provides advice in engagement for both internal and external stakeholders and have a range of skills and resources to assist you in this area.

As the project manager, it is crucial to **DEVELOP POSITIVE RELATIONSHIPS** with the sponsor, project team and project collaborators. Anyone who has a stake in or will be influenced by the project will need to be engaged and their needs considered. The flow chart below and explanations that follow outline some of the key considerations when managing stakeholder relationships:



Identify Stakeholders

The project manager is responsible for bringing together the project team and organising a kick-off meeting for the project. One of the primary objectives of a kick-off meeting is to identify all project stakeholders and how the project impacts them. Any potential stakeholder will be contacted by either the project manager or project team member and their stakeholder status assessed. The stakeholder list must be outlined in the Community Engagement Planner (see templates at the end of these guidelines).



Analyse Stakeholder Needs

Once the stakeholders have been identified, there are three key elements that need to be considered and include:

- ✓ **What influence over the project will the stakeholder have?** If they have a strong influence over the project, then they should be regarded as a 'Priority Stakeholder'.
- ✓ **What interest does the stakeholder have in the project?** If they have a high influence but show very little interest in the project, you will need to make them a 'Priority Stakeholder' and pay extra attention to the relationship to gain their buy-in and commitment to the project.
- ✓ **What are the stakeholder's needs and expectations?** If they have a high influence, you will need to ensure that you are well aware of their needs and document these. Some stakeholders may have little influence and may take little interest in the project, but they could be highly impacted by the project implementation and outcomes.

Manage Stakeholder Needs

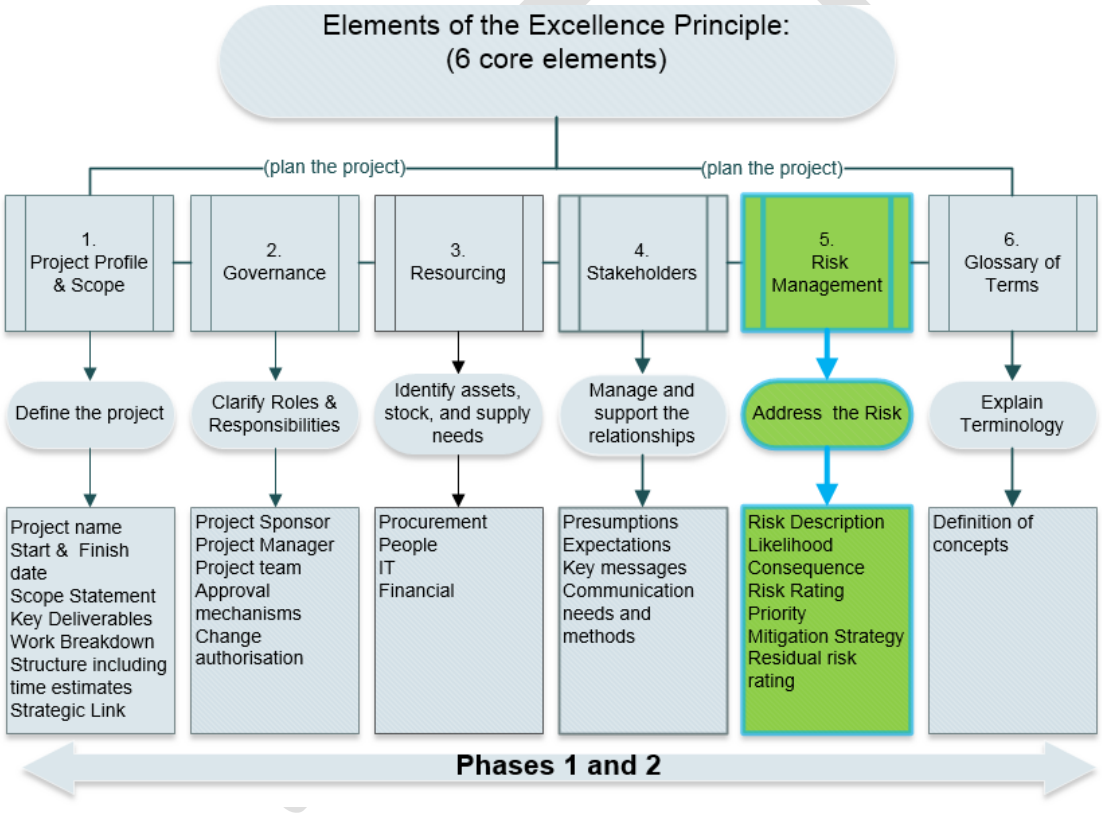
The other key issue for project managers is the impact of unrealistic stakeholder expectations which can be devastating to the success of your project. Knowing the expectations and clarifying the project's key deliverables is one way to

MANAGE UNREALISTIC EXPECTATIONS.

You will need to confirm the level of engagement of each stakeholder group and the most appropriate way to engage them.

Once you have determined the needs of each stakeholder and you have clarified the expectations, you now need to manage the stakeholder's needs. You need to **KEEP THE STAKEHOLDER INFORMED** to the level that is appropriate (determined by the level of influence they have over the success of your project) and continue to manage their expectations. Unrealistic expectations need to be addressed immediately and stakeholders may need to be reminded of the agreed project deliverables. As project manager, you need to ensure that there is a process in place that enables the project team to report back on what they have achieved. This will be an ongoing process for the duration of the project. The Community Engagement Program can provide excellent advice on how to analyse stakeholder needs.

Principle 1: Element 5 – Risk Management



The focus of this element is about identifying and **ADDRESSING RISKS** associated with your project. Risks can relate to resourcing, stakeholders, laws and standards, scope and timeframes. Use the corporate risk management matrix when assessing risk. The use of this matrix will promote a consistent risk methodology across Council. The Risk Management Guidelines are used to help you manage risk. Where projects have rated high or extreme risks, you are required to engage with the Corporate Risk and Insurance Program to complete

the corporate risk report form. There is also a tool to assist you with the management of Controls and Treatments.

Capital work projects such as infrastructure, buildings, parks and roads and some community-based projects that provide service to people in the community, would need to consider **STANDARDS WITHIN LAWS** that might apply. For instance, a capital work project constructing a building, would require by law, formal certification at points within the construction phase and at completion phase of the project. There are laws that apply to **RECORD MANAGEMENT** in terms of storage and retention of documents. There are also risks that needed to be considered when **MAKING GOOD DECISIONS** as a public entity using public funds. Therefore, **LEGAL OBLIGATIONS** must be evaluated as part of your risk management framework when planning your projects. Another example would be organising a community event hosting food vendors. Again, the project would need to consider food handing and food safety standards as they pertain to law and consider the legal risks associated with food management when planning this type of project.

Some projects that Council undertake may involve using the 'personal information' of our customers, employees or business partners. Where a project involves personal information, a **PRIVACY IMPACT ASSESSMENT** will be required. Further information on Privacy Impact Assessment can be sourced through the Governance Advisor or by following the link: Privacy Impact Assessment.

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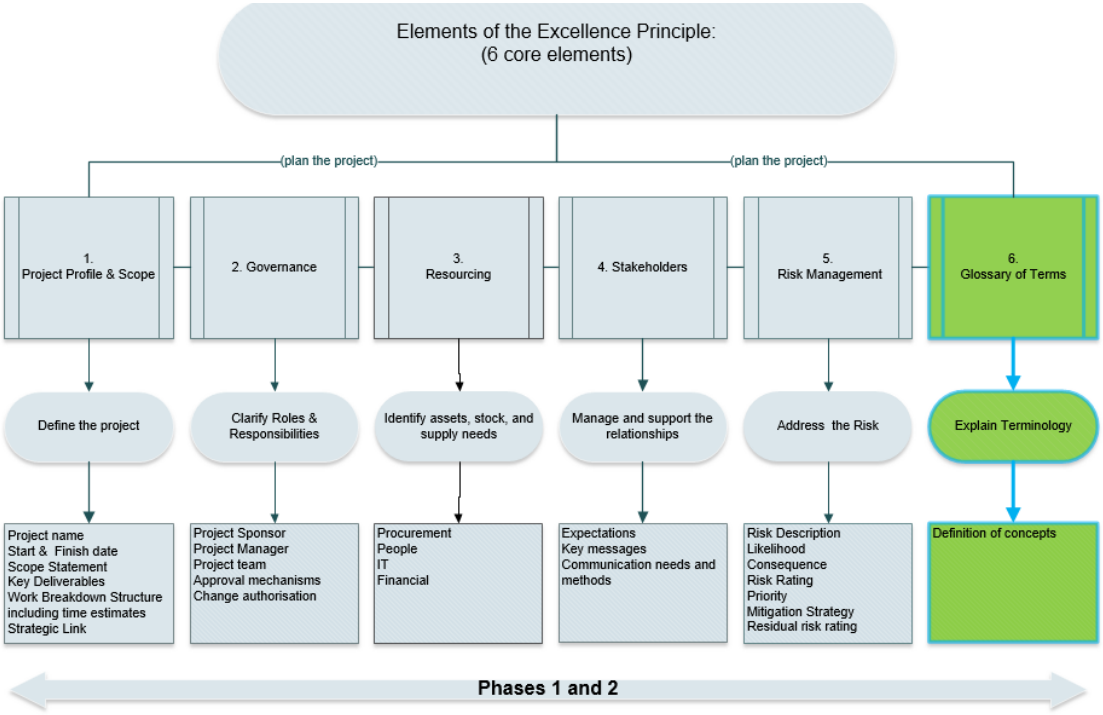
Principle 1: Element 6 – Glossary of Terms

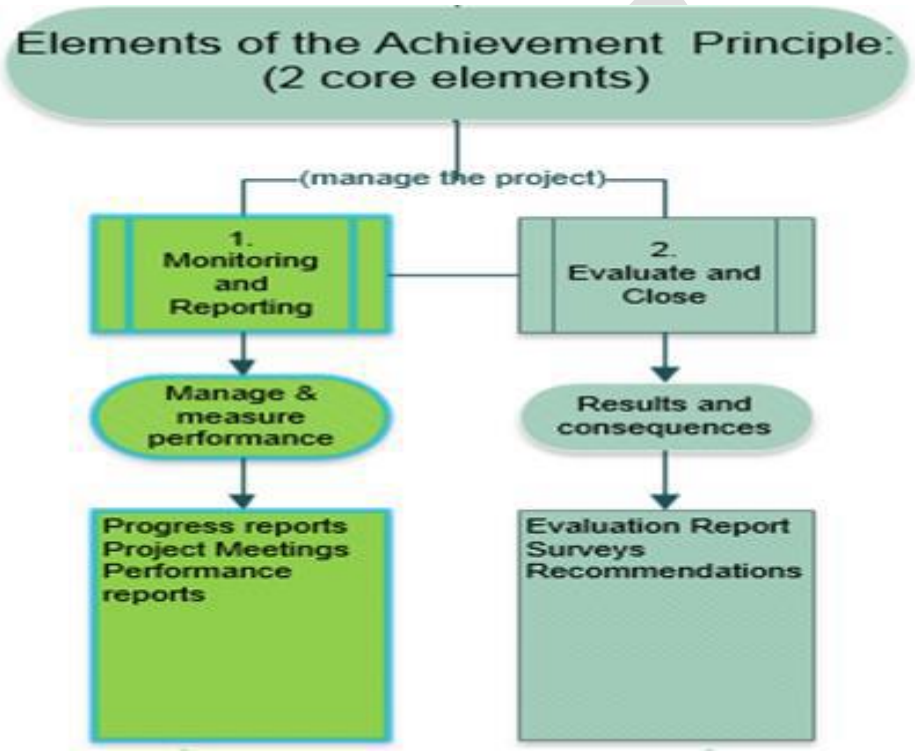


This element is about **DEFINING THE KEY TERMS** and concepts associated with a project. Interchangeable terminology and language may cause confusion and raise conflicting expectations among stakeholders. Therefore, it is important that consistent understanding of terms and concepts is promoted. This is particularly beneficial if involved external stakeholders have a different understanding of certain terms and concepts.

3.2 Principle 2 – Achievement

The principle of Achievement is addressed in phases 3 and 4 of a project's lifecycle (i.e. Implement and Evaluate/Close). There are **two core elements** that help define achievement in project management. Each core element is described below:

Principle 2: Element 1 – Monitoring and Reporting

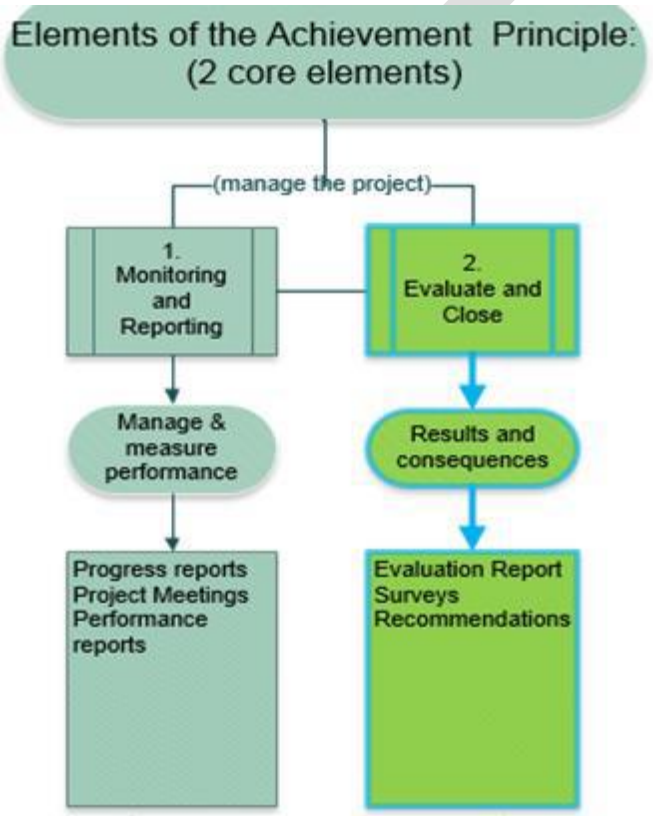


This element is about **MANAGING THE PERFORMANCE** of a project's delivery. It involves the development of project milestones and determining the mechanisms to be used to report on the project's progress. As a minimum, the project should be captured in the Operational Business Plan (and Individual Work Plans) and progress can be tracked using Council's performance reporting.

Other **MONITORING AND REPORTING** processes can include team meetings (and minutes), interim project reviews, stakeholder update reports, mid-project evaluations (if relevant), the use of change control plans, quality plans, daily logs, risk and issue registers, and lessons learnt logs. Also identify and confirm whether there is a legislative or funding requirement for monitoring and reporting progress of a project.

It is also important to **REVISIT THE PROJECT PLAN** during the monitoring and reporting phase to minimise the risk of 'scope creep' and ensure that the project is on track to achieve the agreed key deliverables. Another important consideration for the project's implementation is to consider how to bring it to life. For example, having visual charts or whiteboards with key project dates can help keep the project 'front of mind' for the project manager and broader project team

Principle 2: Element 2 – Evaluate and Close



This element focuses on **PROJECT CLOSURE**. It involves conducting a project evaluation to highlight the achievements of the project and whether the project has met the agreed key deliverables. The project plan has a final section that focuses on evaluating the project.

The results from the evaluation and assessment of lessons learnt (what worked, what did not) should be documented in the project closure section to promote a cycle of **CONTINUOUS IMPROVEMENT**. As part of the project closure, any future implications or actions requiring attention and recommendations for improvement should be clearly communicated.

SECTION 4 – Project Management Suite of Templates

A project management plan is a minimum/mandatory requirement for all projects to ensure there is clarity in what is to be delivered. Detailed below are all of the corporate templates available to assist you with managing a project.

TO BE COMPLETED

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SECTION 5 – Glossary of Terms

Acceptance Criteria
The conditions that must be met before project deliverables are accepted.

Approval Mechanisms
Outlines who has decision-making authority within a project, including who has the authority to make day-to-day decisions, who has authority to change scope and how this decision-making is facilitated (e.g. informally the project manager can make decisions on how best to manage a project, whereas a change to scope would need formal sign off by a project sponsor and client).

Assumptions
An assumption is a belief of what you assume to be true in the future. You make assumptions based on your knowledge, experience or the information available on hand. These are anticipated events or circumstances that are expected to happen during your project's lifecycle.

Benefits
The value to the customer, community or organisation.

Business Case
Captures the reasoning for initiating a project or task and is an argument to convince a decision maker to approve a project. The needs and benefits are outlined in the business case.

Change Control
The process of planning for and coordinating a change to a project to limit its effect on the success of the project. This process involves managing changes when and as they occur.

Client
The person who ultimately authorises or requests a project is usually the person who funds the project.

Communication Mechanisms
The processes used to ensure that the stakeholders are informed of the progress of the project.

Community
The word 'community' defines individuals and groups of people; stakeholders, interest groups and citizen groups. A community may be a geographic location (community of place), a community of similar interest (community of practice), or a community of affiliation or identity (such as industry or sporting club).

Community Engagement Planner
The Engagement Planner is a tool to assist with managing complex projects and consider all stakeholders, project needs and identify any project risks that need to be addressed.

Constraints
Constraints are limitations imposed on the project, such as the limitation of cost, schedule, or resources, and you have to work within the

boundaries restricted by these constraints. All projects have constraints, which are defined at the beginning of the project.

Continuous Improvement

Is a method for identifying opportunities for streamlining work and reducing waste.

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Need further assistance?

For further information or assistance on:

- ✓ using the project management guidelines and templates;
- ✓ information on risk management;
- ✓ information and advice on legal obligations
- ✓ information and advice on Records Management

please contact the Corporate Services Governance Advisor;

For further information on receiving training in project management, please contact the Human Resources Manager within the People and Performance Branch.

For further information and advice on stakeholder engagement and management, please contact the Community Engagement Branch.

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RMAC REPORT

Agenda Item Number:	8.4
Report Title:	Risk Register
Author:	Rebecca Taylor, Research and Policy Officer (WHS & Risk)
Recommending Officer:	Silke Maynard, Director Community and Corporate Services
Meeting Date:	1/09/2020
Attachments:	Attachment A – Risk Register

Executive Summary

To update RMAC on the risk profile, control and actions status as identified in the Strategic Risk Register.

The full Litchfield Council strategic risk register is attached (Attachment A). The summary dashboard provides updates as to the progress in implementing actions. There is a total of 28 actions with,

- 3 actions complete, and
- 25 actions on going.

Recommendation

THAT RMAC

1. Note the updated strategic risk register; and
2. Note the completed actions in the Risk Dashboard of the Strategic Risk Register, which will be removed from the action list with controls to be added where required.

Background

There are currently five risk profiles where the risk appetite is not yet achieved. This remains the same from the previous report to RMAC. Work continues on actions to address control ratings and potentially the risk level.

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	High	Inadequate
RP16 - Ineffective HR Management / Employment Practices	Moderate	Adequate

There is a total of 223 controls, two more than previous report. The increase in controls is a result of removing the Risk Control; Procurement policies and procedures and replacing with the following Risk Controls;

- Tender Procedure
- Procurement Manual
- FIN03 Procurement Policy

A summary of control rating compared to the previous report is provided below.

Control Ratings Feb 2020		Control Ratings Aug 2020	
Row Labels	**Count of Control Rating**	**Row Labels**	**Count of Control Rating**
Unrated	0	Unrated	0
Adequate	149	Adequate	151
Excellent	29	Excellent	29
Inadequate	43	Inadequate	43
Grand Total	**221**	**Grand Total**	**223**

Links with Strategic Plan

A Well-Run Council - Good Governance

Legislative and Policy Implications

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

Risks

Financial Implications

NIL

Community Engagement

NIL

Litchfield Council Risk Dashboard Action Status Report

RP1 - Misconduct		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**	**Comments & Review History**

RP2 - Business and Community Disruption		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**	**Comments & Review History**
Develop Council Business Continuity Framework and Action Plan	Jun-18	Gov & Risk Adv	7 August 2018 Item not on track. Research into existing frameworks at other Councils conducted. Investigated potential for consultancy to complete this action. February 2019 No further progress. The emergency management plan has been updated and will include consideration of business continuity in relation to cyclone imapcts. The creation of a whole of Council Business Continuity plan will have to be developed in house as resources permit. September 2019 No further progress February 2020 Quote received from JLT to conduct 2 workshops and generate BCF for Council. Includes one session of scenario planning to test the framework. This action is linked to RP6 ICT continuity plan September 2020 Workshop held with Leadership Team 21/8/20 - In progress

RP3 - Inadequate Environmental Management		Risk	Control
		Low	Adequate
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**	**Comments & Review History**
Develop Berry Springs Waste Transfer Station Envoronmental Mgt Plan	Apr-20	Mgr Waste	November 2019 New Action. Waste Management Plan control renamed to Environmental Management Plans to be consistent with requirements for EPA Lisence. Once Berry Springs WTS plan is complete control will be updated to Adequate. February 2020 In progress September 2020 EMP complete

Litchfield Council Risk Dashboard Action Status Report

RP4 - Errors, Omissions, Delays and Incorrect Advice		Risk: Moderate / Control: Adequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**	**Comments & Review History**
Formalise Procedures, Documentation and Checklists for Core Operations - Finance	Jun-18	Finance Mgr	7 August 2018 Item incomplete. Gov and Risk Advisor to meet with manager to develoip plan for completion Febraury 2019 Procedures correlated and prepared, yet final review outstanding before taks completed. September 2019 No further progress February 2020 In progress Expect completion by July 2020 September 2020 Core processes in place, to be refined - in progress
Formalise Procedures, Documentation and Checklists for Core Operations - Works	Apr-18	Mgr Inf & Assets	due date reviewed from March 2018 8 May 2018 Not on schedule due to increased workload resulting from impact of cyclone Marcus. Overdue 7 August 2018 Item incomplete. Governance and Risk Advisor to meet with manager to develoip plan for completion February 2019 Collation of documentation and preparation of 90% of documentation complete. Proposed target – completion by March 2019 September 2019 No further progress February 2020 In progress. Expect completion by July 2020 September 2020 In progress
Formalise Procedures, Documentation and Checklists for Core Operations - Corp and Comm Serv	Sep-18	DCCS	February 2019 In progress. Library procedures to be included. Expect finaalisation August 2019 September 2019 No further progress February 2020 Draft procedures for events developed and under review September 2020 documentation around community services procedures in draft, Core Corporate service procedures in development
Review the CRM system	Oct-18	DCCS	8/11/2018 establishment of the SERVICE Committee for Customer Service Charter, Review of CRM process to follow September 2019 Terms of reference established for SERVICE Committee which has only met once to date February 2020 In progress September 2020 Customer service charter approved by Council, CRM workflow review to be completed in October 2020
RP5 - External Theft and Fraud (inc. Cyber Crime)		Risk: Moderate / Control: Adequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**	**Comments & Review History**

Litchfield Council Risk Dashboard Action Status Report

RP6 - ICT Systems and Infrastructure Failure		Risk: Moderate	Control: Adequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**		**Comments & Review History**
Undertake private cloud hosting cost benefit analysis for internal systems (Item 2.1.3).	Feb-20	Info Mgr		September 2019 New Action February 2020 As per the Azure proposal from Fourier, and associated Documentation from Azure, cost analysis complete. Some follow on documentation to be prepared and available in Late February/Early March. Due Feb 2020, adjust to March 2020. September 2020 Complete
Implement Business Systems Review and develop Roadmap (Item 3.1.1)	Dec-19	Info Mgr		September 2019 - New Action February 2020 Parallel with the recommendations around Azure proposal and strategic planning around ICT (ie reduced architecture and reliance on on-premise servers and asset management, Business System Review planning to take place in 2020. Documentation and information from external sources to be secured in March 2020, with Draft Documentation due in April 2020. Due May 2020 September 2020 Azure proposal complete - In progress
Develop high level business continuity plan (BCP) and Disaster. (Item 5.2.1)	Dec-19	Info Mgr		September 2019 - New Action February 2020 As per discussions with Governance and Risk Advisor – ICT BCP to be done in conjunction with overall BCP. BCP to drive the ICT Disaster Recovery documentation and recommendations. Due Date May 2020. Quote received from JLT to conduct 2 workshops and generate BCF for Council. Includes one session of scenario planning to test the framework. IT Buisnes Continuity Plan commenced and will be incorporated into the whole of Council framework. September 2020 Workshop held with Leadership Team 21/8/20 - In progress
Mitigate legacy software platforms (Windows Server) (Item 5.1.4)	Feb-20	Info Mgr		September 2019 - New Action February 2020 As per the Azure proposal from Fourier, recommendations for a re-architecture include the removal of legacy platforms from Servers. Due Date June 2020. September 2020 New servers arrive late August 2020 - In progress
Develop Unified Communications (Voice/Video/Data) – Telecommunications plan. (Item 2.1.4)	Feb-20	Info Mgr		September 2019 - New Action February 2020 VOIP phones and backup internet to HSWTS, HDWTS. LCO moved to VOIP. Thorak and Taminmin Library to have adequate internet backup and VOIP phones solutions outlined. Investigations to cloud telephony solutions to be outlined. Documentation and Plan to be compiled in April 2020. Due Date May 2020. September 2020 Documentation and plan compiled - outcome to be decided
Upgrade current projector/screen with integrated remote wireless AV system (Video Conf Ready) (Item 2.3.1)	Feb-20	Info Mgr		September 2019 - New Action February 2020 Scope is complete trhrough consultation with CEO and EA to CEO, quotes are being sourced. Expect completion and instalation prior to end of financial year. RFQ released 24/02/2020, with a return date in early March 2020. Project to be completed and invoiced prior to EOFY 2020. Due Date June 2020. September 2020 Complete
RP7 - Failure to Fulfil Statutory, Regulatory or Compliance		Risk	Control	

Litchfield Council Risk Dashboard Action Status Report

Requirements		Moderate	Adequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**		**Comments & Review History**

RP8 - Inadequate Safety and Security Practices		Risk	Control	
		High	Inadequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**		**Comments & Review History**
Review Existing Safety Practices and Develop Council Safety Management Systems	Sep-18	HR Advisor		February 2019 Updated WHS policy and procedures. Implemented updated forms and reporting requirements, trianed staff on updated policy and procedures. WHS register implemented. September 2019 Contract let to Lattitude 12 to develop a WHS system to be completed by October 2019 November 2019 Draft WHS management plan complete and undergoing feedback prior to implementation. Once endorsed this plan will impact on several controls (RP3 Environmental Management/Response Plans, All RP8 controls , February 2020 Plan is complete. With the resignation of the Records Officer an opportunity exists to restructure and emply a specific WHS resource to implement the actions detailed in the plan September 2020 Existing safety practices reviewed and safety management system developed, implementation being progressed.

RP9 - Ineffective and Unsustainable Financial Management		Risk	Control	
		Moderate	Adequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**		**Comments & Review History**
Review Developer Contribution Plan	Jun-18	Mgr Plan & Dev		7 August 2018 Consultants have prepared a draft Developer Contribution Plan. Planning and Development Manager is currently reviewing for preperation to Council in October. February 2019 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 November 2019 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 prceed with adoption. Expect completion September 2020. February 2020 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 September 2020 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.

Litchfield Council Risk Dashboard Action Status Report

Implementation of Procurement Audit Findings	Jun-18	DCCS	7 August 2018 1. Councils procurement policy has been updated of which the draft document (attached) is presented for RMAC endorsement. Updates to the current policy include, a. inclusion of provisions for the appointment of a probity advisor by the Tender Evaluation Panel (TEP) b. removal of procedural items to be included in a procurement procedures document, and c. clarifying the documenting of justification when it is impractical to obtain three written quotations. Detailed references to legislation remain in the policy document due to the importance of ensuring all staff understand the context of the policy in relation to the legislation and their responsibilities. 2. Development has commenced on a procurement manual (table of contents attached). This manual will provide procedures for all Councils procurement activities including forms, templates and checklists. Procedural items from the current policy will be included. 3. Key procurement personnel (Works Controller and Asset Management Officer) have attended a three-day procurement training session hosted by the Local Government Association of the Northern Territory. November 2018 Procurement Policy Reviewed, Procurement manual in development, Responsiblities reviewed, Implementation of Roadmap February 2019 The Executive team are currently reviewing procurement responsibilities within the current organisational structure and capacity. This action will be refined with specific actions for implementation. August 2019 Procurement Improvement Committee established and progress. Report presented to RMAC at August meeting with progress on actions. Februrary 2020 PIC minutes presented to RMAC at March meeting with progress.
Asset management plans in progress	Jul-18	Mgr Inf & Assets	7 August 2018 The Thorak Cemetry 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. 3 October 2018 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 & 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 February 2019 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 & 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 September 2019 Update on proposed targets to be presented to RMAC in Feb 2020 February 2020 Report presented to March RMAC meeting September 2020 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.
Review payroll procedures	Jun-20	Finance Mgr	February 2020 New Action September 2020 The main procedures that were affected in the payroll audit and backpay have been reviewed. All other procedures to be reviewed - to be completed by December 2020

Litchfield Council Risk Dashboard Action Status Report

RP10 - Ineffective Management of Public Facilities / Venues / Events		Risk: Moderate	Control: Inadequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**		**Comments & Review History**
Formalise Public Places By-Law	Jun-19	DCCS		7 August 2018 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 l it is still beneficial for Council to proceed with the development of these by-laws. November 2018 Seeking Consultant to guide workshop with elected members in May 2019 February 2019 This action is on hold pending the establishment of meeting procedure by-laws. February 2020 New consultatnt approached to facilitate workshop which will review Council's intent and capacity in line with updated NTG planning regs may impact this action. September 2020 On Hold - only to be actioned once Meeting Procedure by-laws have been finalised
Review Reserve Management Leases and budget requirements	May-18	DCCS		8 May 2018 New lawyer contracted for support, leases to be ready for discussion with reserves in October 2018 7 August 2018 Draft lease received from Lawyers. November 2018 Draft leasse developed, started correspondence with Reserve Committees February 2019 Lerase templates approved by Council and discussions with 3rd parties held. Exepect completion August 2019 depending on availability of reserve committees. September 2019 On hold due to Interim CEO duties of DCCS February 2020 Draft leases and funding agreements to be discussed with reserve management boards. September 2020 Leases signed by 3 out of 4 recreation reserves (4th one to be signed in September) Funding agreements - under development and nearing completion with 4 out of 5 reserves (FPSRR delayed due to Governance review)
Develop Inspection/Maintenance program	Jun-18	Mgr Inf & Assets		7 August 2018 Schedules have been completed and are with the relevent responsible officers for final review. Expect sign of by next RMAC meeting. 2 Jan 2019 Development of maintenance schedule actions rolled up into one action for consistancy and ease of reporting. February 2019 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 February 2020 September 2020 Playground inspection/maintenance program in place Cemetry Reserves Supervisor now employed - expect Tree inpsection program complete by Dec 2020
Formalise Procedures, Documentation and Checklists for Core Operations - Corp and Comm Serv	Sep-18	DCCS		February 2019 In progress. Library procedures to be included. Expect finaalisation August 2019 September 2019 On hold due to Interim CEO duties of DCCS February 2020 Draft procedures for events developed and under review September 2020 documentation around community services procedures in draft, Core Corporate service procedures in development

Litchfield Council Risk Dashboard Action Status Report

Develop template for risk assessments of Council run events	Jun-20	Comm Dev Officer	February 2020 New Action September 2020 A draft template for risk assessments has been developed. Still requires refining and finalising.
RP11 - Inadequate Records Management Processes		Risk: Moderate / Control: Adequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**	**Comments & Review History**
RP12 - Inadequate Project/Change Management		Risk: Moderate / Control: Inadequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**	**Comments & Review History**
Establish Council Project Management Methodology	Jun-18	Mgr Inf & Assets	7 August 2018 Project management processes are being revised to enable a project management methodolgy to be prepared. February 2019 Reporting process improvements in place and development of asset management plans assist in project identification, improving the operational control of projects and reducing the risk, however methodology development for project management yet to commence, which will need to align with contract management review and system. Proposed target – December 2019 September 2019 See RMAC Agenda Item 8.1 3 September 2019 February 2020 No update September 2020 Project management outline developed, procedures to be developed
RP13 - Inadequate Engagement Practices		Risk: Moderate / Control: Adequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**	**Comments & Review History**
Standardised community information processe for Road Network	Dec-18	Mgr Inf & Assets	February 2019 This is included as a procedure to be prepared for the Infrastructure and Assets section. Proposed target – April 2019 September 2019 No further action February 2020 In progress September 2020 Community consult guidline to be developed

Litchfield Council Risk Dashboard Action Status Report

RP14 - Inadequate Procurement / Supplier / Contract Management		Risk: High	Control: Inadequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**		**Comments & Review History**
Develop a contract management system	Jun-18	Mgr Inf & Assets		7 August 2018 Project management processes are being revised to enable a project management methodolgy to be prepared. February 2019 60% complete – existing system capabilities are being utilised for contract management where available. To be reviewed in conjunction with internal audit scheduled relating to Contract Management. Proposed target – September 2019 September 2019 See RMAC Agenda Item 8.1 3 September 2019 February 2020 In progress September 2020 Contract Management outline developed, procedures to be developed

RP15 - Inadequate Asset Sustainability Practices		Risk: High	Control: Inadequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**		**Comments & Review History**
Develop Asset Management Plan inc Asset costings to establish renewal program	Jul-18	Mgr Inf & Assets		7 August 2018 The Thorak Cemetry 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 February 2019 Refer to RP9:Asset management plans in progress. All asset management plans include renewal requirements. February 2020 In progress September 2020 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.
Develop Inspection/Maintenance program	Oct-18	DIO		7 August 2018 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. February 2019 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 February 2020 In progress September 2020 Playground inspection/maintenance program in place Cemetry Reserves Supervisor now employed - expect Tree inpsection program complete by Dec 2020

RP16 - Ineffective HR Management / Employment Practices		Risk: Moderate	Control: Adequate	
Current Issues / Actions / Treatments	**Due Date**	**Responsibility**		**Comments & Review History**
Develop Corporate Training Program	Oct-18	HR Advisor		February 2019 In progress February 2020 In progress September 2020 Corporate training program in development

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	Gov & Risk Adv	14/09/2017	Adequate
Fraud Training	Preventative	DCCS	14/09/2017	Adequate
Control of Devices Policy / Procedures	Preventative	Info Mgr	14/09/2017	Inadequate
Electronic Document Management	Preventative	Records Management Officer	14/09/2017	Adequate
On and Off Site Records Storage	Preventative	Records Management Officer	14/09/2017	Adequate
Recruitment Process	Preventative	HR Advisor	14/09/2017	Adequate
Segregation of Duties (Financial)	Preventative	Finance Mgr	1/06/2018	Excellent
ICT Security Access Framework - Access and Approvals	Preventative	Info Mgr	14/09/2017	Adequate
Internal / External Audits	Detective	Gov & Risk Adv	14/09/2017	Adequate
Induction Process (Code of Conduct)	Preventative	HR Advisor	14/09/2017	Adequate
Internet / Phone Usage Policy	Preventative	Info Mgr	14/09/2017	Adequate
Fraud Protection Policies	Preventative	DCCS	14/09/2017	Adequate
Credit Card Policy and Monthly Reporting	Detective	Finance Mgr	1/06/2018	Excellent
Disciplinary Procedures	Responsive	HR Advisor	14/09/2017	Adequate
Cash Handling Procedures	Preventative	Finance Mgr	14/09/2017	Adequate
Performance Review process	Detective	HR Advisor	30/11/2017	Adequate
Whistle Blower Policy	Preventative	Gov & Risk Adv	15/11/2017	Excellent
Ongoing Fraud and Misconduct Awareness Training/Information	Preventative	DCCS	12/02/2018	Adequate
Purchasing Policy / Process (Purchase Order Process)	Preventative	DCCS	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
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 includes;

- *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	Gov & Risk Adv	14/09/2017	Inadequate
Business Continuity Plans	Responsive	Gov & Risk Adv	14/09/2017	Inadequate
Cyclone Plan	Responsive	DIO	14/09/2017	Adequate
Fire Management Plan	Preventative	MWF Mgr	14/09/2017	Excellent
Council Property Inspections for Compliance (Informal) (Doc id 458315)	Detective	Asset Mgt Officer	27/02/2020	Adequate
Pre cyclone clean up	Preventative	Mgr Inf & Assets	14/09/2017	Adequate
Risk managemnt framework (Doc id447380)	Preventative	Gov & Risk Adv	3/03/2020	Adequate
Risk management and audit committee (Doc id 447381)	Preventative	Gov & Risk Adv	3/03/2020	Adequate
Emergency Management Procedures/Drills	Responsive	DIO	14/09/2017	Adequate
			Overall Control Ratings:	**Adequate**

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

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

Comments

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

Current Issues / Actions / Treatments	Due Date	Responsibility
Develop Council Business Continuity Framework and Action Plan	*Jun-18*	Gov & Risk Adv

RP3 - Inadequate Environmental Management — Jan-18

This Risk Theme is defined as;

Inadequate prevention, identification, enforcement and management of environmental issues. The scope includes;
- Lack of adequate planning and management of coastal erosion issues.
- Failure to identify and effectively manage contaminated sites (including groundwater usage).
- Waste facilities (landfill / transfer stations).
- Weed control.
- Ineffective management of water sources (reclaimed, potable)
- Illegal dumping.
- Illegal clearing / land use.

Potential causes include;

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

Key Controls	Type	Owner	Date	Rating
WTS Environmental Management Plans (Doc id 447588)	Preventative	Waste Mgr	21/11/2019	Inadequate
Waste Management Strategy	Preventative	Waste Mgr	1/06/2018	Excellent
Contamination Register - MWF	Detective	MWF Mgr	21/12/2018	Inadequate
Contamination Register - Thorak (Doc id 428179)	Detective	Thorak Mgr	26/04/2019	Adequate
Asbestos Register (Doc ID 416357)	Detective	Mgr Inf & Assets	14/09/2017	Excellent
Weed Control Schedule	Preventative	MWF Mgr	14/09/2017	Adequate
Support Local Environmental Groups	Preventative	DCCS	14/09/2017	Adequate
Environmental Management / Response Plans	Responsive	DIO	14/09/2017	Inadequate
Erosion Control Road Side Drains	Preventative	Mgr Inf & Assets	14/09/2017	Adequate
Reporting of Listed Waste	Preventative	Waste Mgr	14/09/2017	Adequate
Landfill Rehabilitation	Preventative	Waste Mgr	14/09/2017	Adequate
Ranger (Dogs) Service (Doc ID 415880)	Preventative	Reg Serv Mgr	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
Develop Berry Springs Waste Transfer Station Envoronmental Mgt Plan	Apr-20	Mgr Waste

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	Gov & Risk Adv	14/09/2017	Inadequate
Complaints and Requests Register (CRM)	Detective	DCCS	14/09/2017	Inadequate
Senior Manager Oversight to Elected Members Information	Detective	CEO	14/09/2017	Adequate
Utilise External Expertise / Consultants	Preventative	CEO	14/09/2017	Adequate
Segregation of Duties (Financial Control)	Preventative	Finance Mgr	14/09/2017	Adequate
Performance Review Process	Detective	HR Advisor	14/09/2017	Adequate
Media and Communications Resource	Preventative	Comm Eng Adv	14/09/2017	Adequate
Development and Subdivision Standards (Doc id 419760)	Preventative	Plan & Dev Mgr	9/01/2019	Adequate
Staff Meetings (Briefings / Debriefings)	Preventative	CEO	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 - Finance	*Jun-18*	*Finance Mgr*
Formalise Procedures, Documentation and Checklists for Core Operations - Works	*Apr-18*	*Mgr Inf & Assets*
Formalise Procedures, Documentation and Checklists for Core Operations - Corp and Comm Serv	*Sep-18*	*DCCS*
Review the CRM system	*Oct-18*	*DCCS*

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	Finance Mgr	14/09/2017	Adequate
Keyed Access Controls - Admin Building	Preventative	DCCS	14/09/2017	Adequate
Monitored Alarm - Admin Building	Detective	DCCS	14/09/2017	Adequate
Cash Handling procedures	Preventative	Finance Mgr	14/09/2017	Adequate
Staff Inductions	Preventative	HR Advisor	14/09/2017	Adequate
Restricted and Registered Keys	Preventative	Finance Mgr	14/09/2017	Adequate
After Hours Security	Detective	DCCS	14/09/2017	Adequate
System Checks for New Creditors	Preventative	Finance Mgr	14/09/2017	Adequate
Access Control for Online Banking (Dual Signatory)	Preventative	Finance Mgr	14/09/2017	Adequate
Delegation Manual	Preventative	Gov & Risk Adv	14/09/2017	Adequate
Disposal of assets process/forms	Detective	Finance Mgr	30/11/2017	Adequate
Credit Card policy	Preventative	Finance Mgr	1/06/2018	Excellent
Investment policy	Preventative	Finance Mgr	1/06/2018	Excellent
Audit reports (Monthly report, Weekly AP report)	Preventative	Finance Mgr	1/06/2018	Excellent
Seperation of Duties	Preventative	DCCS	1/06/2018	Excellent
Invoice aproval process	Preventative	Finance Mgr	30/11/2017	Adequate
Manned Access Control at Off-site Locations (Except BSWTS)	Preventative	Waste Mgr	14/09/2017	Adequate
Asset Management System - Asset Register (Doc id 458336)	Detective	Finance Mgr	27/02/2020	Adequate
CCTV	Detective	DCCS	14/09/2017	Adequate
IT Firewall Systems	Preventative	Info Mgr	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
Number of actual / attempted theft and fraud incidents			

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	Info Mgr	24/01/2020	Excellent
Performance Monitoring (DOC ID. 438119)	Detective	Info Mgr	20/08/2019	Adequate
UPS / Generator (DOC ID. 438122)	Responsive	Info Mgr	20/08/2019	Excellent
Disaster Recovery Plan (Doc ID. 438090)	Responsive	Info Mgr	14/11/2019	Adequate
ICT Infrastructure Replacement / Refresh Program (DOC ID. 438116)	Preventative	Info Mgr	14/11/2019	Adequate
ICT Governance/Policy Framework (Doc ID. 394988 & 438114)	Preventative	Info Mgr	28/08/2019	Adequate
Internal Service Level Agreements (Doc ID. 438120)	Preventative	Info Mgr	20/08/2019	Adequate
Microwave Connection with Off-site Locations (Doc ID 438118)	Responsive	Info Mgr	18/11/2019	Adequate
Telstra land lines (Doc ID 438121)	Preventative	Info Mgr	18/11/2019	Adequate
Land Lines at Off-site Locations (Thorak and Waste Transfer Stations) DOC IDs 394993 & 438121	Preventative	Info Mgr	18/11/2019	Adequate
Vendor Support (Doc ID 439170)	Preventative	Info Mgr	18/11/2019	Adequate
ICT Improvement Plan (Doc id 448415)	Preventative	Info Mgr	3/03/2020	Adequate
ICT Access Control and Approval Procedures (438106)	Preventative	Info Mgr	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
Undertake private cloud hosting cost benefit analysis for internal systems (Item 2.1.3).	Feb-20	Info Mgr
Implement Business Systems Review and develop Roadmap (Item 3.1.1)	Dec-19	Info Mgr
Develop high level business continuity plan (BCP) and Disaster. (Item 5.2.1)	Dec-19	Info Mgr
Mitigate legacy software platforms (Windows Server) (Item 5.1.4)	Feb-20	Info Mgr
Develop Unified Communications (Voice/Video/Data) – Telecommunications plan. (Item 2.1.4)	Feb-20	Info Mgr
Upgrade current projector/screen with integrated remote wireless AV system (Video Conf Ready)	Feb-20	Info Mgr

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	Gov & Risk Adv	14/09/2017	Adequate
Compliance Calendars	Preventative	Gov & Risk Adv	14/09/2017	Adequate
Councils Policy Framework	Preventative	Gov & Risk Adv	14/09/2017	Adequate
External Auditor Reviews (Financial Compliance)	Detective	Gov & Risk Adv	14/09/2017	Adequate
External/ Internal Auditor Reviews (Other Compliance)	Detective	Gov & Risk Adv	14/09/2017	Inadequate
Monitor Legislative Changes / Subscriptions	Detective	Gov & Risk Adv	14/09/2017	Adequate
Induction Process - Councillors / Staff	Preventative	Gov & Risk Adv	14/09/2017	Adequate
Staff Network Channels	Detective	CEO	14/09/2017	Adequate
Legislative Reporting to Regulators	Detective	DCCS	14/09/2017	Adequate
Internal Compliance Audit - Quarterly	Detective	Gov & Risk Adv	14/09/2017	Adequate
Scheduled Review of Council Policies and Delegations	Detective	Gov & Risk Adv	14/09/2017	Adequate
Tender Process	Preventative	DCCS	14/09/2017	Adequate
Road Openings and Road Closures Procedures (Doc id 420364)	Preventative	Plan & Dev Mgr	11/01/2019	Excellent
Annual review of external auditor by RMAC	Preventative	Finance Mgr	3/03/2020	Adequate
Dog By-laws administration (Doc id 456989)	Preventative	Reg Serv Mgr	27/02/2020	Excellent
Internal Audit Program (Doc ID 417918)	Detective	Gov & Risk Adv	8/05/2018	Excellent
			Overall Control Ratings:	**Adequate**

Risk Ratings	Rating
Consequence:	Major
Likelihood:	Unlikely
Overall Risk Ratings:	**Moderate**

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

Comments

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

Current Issues / Actions / Treatments	Due Date	Responsibility

RP8 - Inadequate Safety and Security Practices — Jan-18

This Risk Theme is defined as;

Non-compliance with the Health and Safety Legislation, associated regulations and standards. It is also the inability to ensure the physical security requirements of staff, contractors and visitors.

Other considerations are:

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

Potential causes include;

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

Key Controls	Type	Owner	Date	Rating
Workplace Inspections - Off-site Locations	Preventative	DIO	14/09/2017	Adequate
Workplace Inspections - Administration	Preventative	DCCS	14/09/2017	Inadequate
WHS Policy	Preventative	HR Advisor	14/09/2017	Adequate
Safety Management System/Framework	Preventative	HR Advisor	14/09/2017	Inadequate
Contractor Inductions / Safety Requirements	Preventative	HR Advisor	14/09/2017	Inadequate
Toolbox Meetings	Preventative	HR Advisor	14/09/2017	Adequate
Inventory Hazardous Goods and MSDS	Preventative	Outdoor Mgrs	14/09/2017	Adequate
PPE	Preventative	Outdoor Mgrs	14/09/2017	Adequate
Staff Uniforms (protective)	Preventative	Outdoor Mgrs	14/09/2017	Adequate
Training Register (HR File)	Preventative	HR Advisor	14/09/2017	Inadequate
Operator License Checks (Outdoor Workforce)	Detective	HR Advisor	14/09/2017	Adequate
Driver License Checks	Detective	HR Advisor	14/09/2017	Excellent
Asbestos Register (Doc ID 416357)	Detective	Mgr Inf & Assets	27/02/2020	Adequate
Fleet Vehicle and plant Safety Requirements	Preventative	DIO	14/09/2017	Inadequate
Conflict Resolution Training - Frontline Staff	Preventative	HR Advisor	14/09/2017	Inadequate
Fire Safety Systems Check (Doc id 458348)	Detective	Mgr Inf & Assets	27/02/2020	Excellent
Electrical Tag and Test (Doc ID 416358)	Detective	Mgr Inf & Assets	27/02/2020	Adequate
Incident/Accident and Damage Reporting	Detective	HR Advisor	14/09/2017	Adequate
Staff Inductions	Preventative	HR Advisor	14/09/2017	Adequate
Insurance Cover	Preventative	DCCS	30/11/2017	Adequate
Works Permit – Public Liability Insurance (Doc id 419761)	Preventative	Plan & Dev Mgr	9/01/2019	Adequate
first aid kits and fire extinguishers in all Council vehicles	Preventative	Mgr Inf & Assets	8/05/2018	Excellent
		Overall Control Ratings:		**Inadequate**

Risk Ratings	Rating
Consequence:	Major
Likelihood:	Possible
Overall Risk Ratings:	**High**

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

Comments

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

Current Issues / Actions / Treatments	Due Date	Responsibility
Review Existing Safety Practices and Develop Council Safety Management Systems	Sep-18	HR Advisor

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	Finance Mgr	14/09/2017	Adequate
Finance Reports Monthly	Detective	Finance Mgr	14/09/2017	Adequate
Internal Audit Program (Doc ID 417918)	Detective	Gov & Risk Adv	8/05/2018	Adequate
External Audit Program	Detective	Finance Mgr	14/09/2017	Adequate
Delegation Manual	Preventative	Gov & Risk Adv	14/09/2017	Adequate
General Ledger and Journal control	Preventative	Finance Mgr	14/09/2017	Adequate
Finance Policies	Preventative	Finance Mgr	14/09/2017	Adequate
Segregation of Duties	Preventative	Finance Mgr	14/09/2017	Adequate
Developer Contribution Plan (Doc ID 415869)	Preventative	Plan & Dev Mgr	14/09/2017	Inadequate
Budgets - Reviews	Preventative	Finance Mgr	14/09/2017	Adequate
Project management of capital projects	Preventative	DIO	30/11/2017	Adequate
Rating strategy	Preventative	Finance Mgr	30/11/2017	Adequate
Investment policy	Preventative	Finance Mgr	30/11/2017	Adequate
Asset management system - Capital value records	Preventative	Finance Mgr	30/11/2017	Adequate
Grant acquital	Preventative	Finance Mgr	30/11/2017	Adequate
Rating parameters aproval by Finance Manager	Preventative	Finance Mgr	30/11/2017	Excellent
Debt Recovery - processes and agreements	Responsive	Finance Mgr	14/09/2017	Excellent
Risk Management and Audit Committee (Doc id 447381)	Detective	Gov & Risk Adv	3/03/2020	Adequate
Asset Management Plans	Preventative	Mgr Inf & Assets	14/09/2017	Inadequate
Rating Policy	Preventative	Finance Mgr	14/09/2017	Adequate
Annual review of financial manuals and procedures	Preventative	Finance Mgr	2/03/2020	Inadequate
Asset Valuations (Doc id 458338)	Preventative	Mgr Inf & 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*	Mgr Plan & Dev
Implementation of Procurement Audit Findings	*Jun-18*	DCCS
Asset management plans in progress	*Jul-18*	Mgr Inf & Assets
Review payroll procedures	*Jun-20*	Finance Mgr

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	Comm Dev Officer	14/09/2017	Adequate
Inspection and Maintenance Program - Other Assets (Doc id 458319)	Preventative	Mgr Inf & Assets	14/09/2017	Inadequate
Community Feedback Process	Detective	Comm Eng Adv	14/09/2017	Adequate
Event Management, Risk Assessments, Emergency Procedures (Doc id 458494)	Preventative	Comm Dev Officer	2/03/2020	Inadequate
Outsource Management at Key Recreational Reserve	Preventative	DCCS	14/09/2017	Inadequate
Operations Manuals	Preventative	DCCS	14/09/2017	Inadequate
Conditions of Entry to Public Facilities	Preventative	DCCS	14/09/2017	Adequate
Community Events Procedures on Public Land	Preventative	DCCS	14/09/2017	Adequate
Public Building Compliance	Preventative	Mgr Inf & Assets	14/09/2017	Inadequate
Alcohol Management	Preventative	DCCS	14/09/2017	Adequate
Noise Management	Preventative	DCCS	14/09/2017	Adequate
Asbestos Register (Doc ID 416357)	Preventative	Mgr Inf & Assets	30/11/2017	Adequate
Removal of abandoned vehicles (Doc id 456987)	Preventative	Reg Serv Mgr	27/02/2020	Adequate
Tree management plan	Preventative	Mgr Inf & Assets	3/03/2020	Adequate
Playground inspection program	Preventative	Mgr Inf & Assets	3/03/2020	Adequate
Budgets to Support Public Facilities	Preventative	CEO	14/09/2017	Inadequate
			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	DCCS
Review Reserve Management Leases and budget requirements	May-18	DCCS
Develop Inspection/Maintenance program	Jun-18	Mgr Inf & Assets
Formalise Procedures, Documentation and Checklists for Core Operations - Corp and Comm Serv	Sep-18	DCCS
Develop template for risk assessments of Council run events	Jun-20	Comm Dev Officer

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	Gov & Risk Adv	14/09/2017	Adequate
Records Management Committee	Preventative	Records Management Officer	14/09/2017	Adequate
Records Management Process (Doc id 419406)	Preventative	Records Management Officer	2/01/2019	Adequate
Records Management Policy (Doc id 419406)	Preventative	Records Management Officer	2/01/2019	Adequate
Document / Correspondence Receipt / Action Process	Preventative	DCCS	14/09/2017	Adequate
On and Off Site Records Storage (Doc id 419960)	Preventative	Records Management Officer	4/01/2019	Adequate

Overall Control Ratings:	**Adequate**

Risk Ratings	Rating
Consequence:	Minor
Likelihood:	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

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	Mgr Inf & Assets	14/09/2017	Inadequate
Project Budget Tracking	Detective	Finance Mgr	14/09/2017	Adequate
New Initiative Reporting	Detective	DIRECTORS	14/09/2017	Adequate
Council Adoption of New Initiatives	Preventative	CEO	14/09/2017	Adequate
Community Engagement Strategy and Policy - Implementation of strategy over 4 years - ongoing from Feb 2018	Preventative	Comm Eng Adv	14/09/2017	Excellent
Project Status Reporting	Detective	DIRECTORS	14/09/2017	Adequate
Project Management Training	Preventative	HR Advisor	14/09/2017	Inadequate
Change Management Plan	Preventative	HR Advisor	14/09/2017	Inadequate
			Overall Control Ratings:	Inadequate

Risk Ratings	Rating
Consequence:	Moderate
Likelihood:	Possible
Overall Risk Ratings:	Moderate

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

Comments

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

Current Issues / Actions / Treatments	Due Date	Responsibility
Establish Council Project Management Methodology	*Jun-18*	*Mgr Inf & Assets*

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	Comm Eng Adv	14/09/2017	Adequate
Council Reports	Preventative	DIRECTORS	14/09/2017	Adequate
Community Engagement Strategy and Policy - Implementation of strategy over 4 years - ongoing from Feb 2018	Preventative	Comm Eng Adv	14/09/2017	Excellent
Media Policy	Preventative	Comm Eng Adv	14/09/2017	Adequate
Communications Plans within Project Plans/Events	Preventative	Comm Eng Adv	14/09/2017	Inadequate
Strategic Partner Lists	Preventative	Comm Eng Adv	14/09/2017	Adequate
Sponsorship Policy	Preventative	Comm Eng Adv	14/09/2017	Adequate
Councillor Bulletin	Preventative	Comm Eng Adv	14/09/2017	Adequate
Annual Rates Newsletters	Preventative	DCCS	14/09/2017	Adequate
Require Public Consultation prior to Granting Works Permit (Doc	Preventative	Plan & Dev Mgr	17/01/2019	Adequate
Pop Up Info and Consultation Stalls	Detective	Comm Eng Adv	14/09/2017	Adequate
Animal Management Plan (Doc id 456988)	Preventative	Reg Serv Mgr	27/02/2020	Excellent
Provision of economic and social data via Council website (Doc id 4472	Preventative	Gov & Risk Adv	3/03/2020	Excellent
Community Grants Scheme (Doc id 448168)	Preventative	Comm Dev Officer	2/03/2020	Adequate
Social Media/Website Updates	Preventative	Comm Eng Adv	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
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
Standardised community information processe for Road Network	*Dec-18*	Mgr Inf & Assets

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	Mgr Inf & Assets	14/09/2017	Inadequate
	Detective	DIRECTORS	14/09/2017	Inadequate
Local Government Guidelines (Doc id 447310)	Preventative	Gov & Risk Adv	14/09/2017	Adequate
Suppliers and Contractors WHS Requirements	Preventative	HR Advisor	14/09/2017	Inadequate
Strategic Relationship Map	Preventative	CEO	14/09/2017	Inadequate
Tender Procedure (Doc id 447431)	Preventative	Mgr Inf & Assets	15/04/2020	Adequate
Procurement Manual (Doc id 447431)	Preventative	Mgr Inf & Assets	15/04/2020	Adequate
FIN03 Procurement Policy (Doc id 447431)	Preventative	DCCS	15/04/2020	Adequate
		Overall Control Ratings:		**Inadequate**

Risk Ratings	Rating
Consequence:	Major
Likelihood:	Possible
Overall Risk Ratings:	**High**

Key Indicators	Tolerance	Date	Overall Result
Number of contracts expired prior to renewal			

Comments

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

Current Issues / Actions / Treatments	Due Date	Responsibility
Develop a contract management system	Jun-18	Mgr Inf & Assets

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 System - Infrastructure	Preventative	Mgr Inf & Assets	21/12/2018	Inadequate
Asset Management Plans (Doc id 458323)	Preventative	Mgr Inf & Assets	27/02/2020	Inadequate
Asset Management Steering Group (Doc id 458322)	Preventative	Mgr Inf & Assets	27/02/2020	Excellent
Asset Management System - Asset Register	Preventative	Finance Mgr	21/12/2018	Adequate
Asset Handover Procedures (Doc id 420053)	Preventative	Plan & Dev Mgr	17/01/2019	Adequate
Future Trends Analysis	Preventative	DCCS	14/09/2017	Inadequate
Land Asset Optimisation Strategy	Preventative	DCCS	14/09/2017	Inadequate
Conditional Analysis (Doc id 458339)	Detective	Mgr Inf & Assets	27/02/2020	Adequate
Asset Valuations (Doc id 458338)	Preventative	Mgr Inf & Assets	27/02/2020	Excellent
Community Engagement - Service Levels	Detective	CEO	14/09/2017	Inadequate
Inspection and Maintenance Program - Roads	Detective	Mgr Inf & Assets	14/09/2017	Adequate
Inspection and Maintenance Program - Drainage	Preventative	Mgr Inf & Assets	3/03/2020	Inadequate
Wet season road network management	Preventative	Mgr Inf & Assets	3/03/2020	Inadequate
Capital Works Program	Preventative	Mgr Inf & Assets	3/03/2020	Adequate
Street Lighting Program	Preventative	Mgr Inf & Assets	3/03/2020	Adequate
Road Network, Road Reserve and Fire Breaks on Council land slashing (447507)	Preventative	MWF Mgr	19/11/2019	Excellent
Inspection and Maintenance Program - Other Assets (Doc id 458319	Detective	Mgr Inf & Assets	14/09/2017	Inadequate
		Overall Control Ratings:		Inadequate

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

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	Mgr Inf & Assets
Develop Inspection/Maintenance program	Oct-18	DIO

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	HR Advisor	14/09/2017	Inadequate
Performance Development Plans and Training Register	Detective	HR Advisor	14/09/2017	Adequate
Workforce Plan	Preventative	HR Advisor	14/09/2017	Inadequate
Staff Inductions (Code of Conduct Component)	Preventative	HR Advisor	14/09/2017	Adequate
Staff Surveys	Detective	HR Advisor	14/09/2017	Adequate
Recruitment Process	Preventative	HR Advisor	14/09/2017	Excellent
Corporate Training Plan	Preventative	HR Advisor	14/09/2017	Adequate
Training Budget	Preventative	CEO	14/09/2017	Adequate
Implement people and culture program	Preventative	HR Advisor	12/02/2018	Adequate
Litchfield Council Enterprise agreement	Preventative	HR Advisor	10/04/2019	Inadequate
Regular Staff Meetings	Preventative	CEO	14/09/2017	Adequate
			Overall Control Ratings:	**Adequate**

Risk Ratings	Rating
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	HR Advisor

9. Other Business

10. Confidential Items

Pursuant to Section 65 (2) of the Local Government Act and Regulation 8 of the Local Government (Administration) regulations the meeting be closed to the public to consider the following Confidential Items:

10.1 Litchfield Council Cyber Crime Incident – May 2020

Regulation 8(c) – information that would, if publicly disclosed, be likely to:

(i) cause commercial prejudice to, or confer an unfair commercial advantage on, any person; or

(ii) prejudice the maintenance or administration of the law; or

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

(iv) prejudice the interests of the council or some other person;

11 Close of Meeting