



Shire of Dardanup

# A P P E N D I C E S

## A U D I T & R I S K C O M M I T T E E M E E T I N G

To Be Held

Wednesday, 3 June 2020  
Commencing at 2.00pm

At

eMeeting via  
[www.dardanup.wa.gov.au](http://www.dardanup.wa.gov.au)

This document is available in alternative formats such as:  
~ Large Print  
~ Electronic Format [disk or emailed]  
Upon request.

# (Appendix AAR: 8.1A)



## Risk Dashboard Report - June 2020

### Executive Summary

This Risk Dashboard Report summarises the Shire's risks within the Risk Management Governance Framework. The focus continues to be on embedding and driving continual improvement. It is supported by:

1. Risk Profiles for the 15 themes discussed.
2. Risk Management Policy AP023 and Procedures PR036.

<b>Asset Sustainability Practices</b>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Operations	
Current Treatment Plan (Action)	Due Date	Responsibility	
Develop Maintenance Plans	Mar-21	Manager Operations	
Update the Heritage Inventory List to form part of the Town Planning Scheme review	Jun-22	Manager Development Services	
Review of Council properties that contain asbestos	Sep-20	PEHO	
Review of Asset Management Plans	Jun-22	Manager Assets	

<b>External Theft and Fraud (inc. Cyber Crime)</b>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Financial Services	
Current Treatment Plan (Action)	Due Date	Responsibility	
Implement an Organisational Password management framework	Aug-20	IT Manager	

<b>Business &amp; Community Disruption</b>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Information Services	
Current Treatment Plan (Action)	Due Date	Responsibility	
Draft IT Disaster Recovery run sheets	Sep-20	IT Manager	
Cyber security incident plan	Jun-20	IT Manager	
Include options for generator/back-up power supply for new Admin Building	Jul-21	Director Infrastructure Services	

<b>Management of Facilities, Venues and Events</b>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Community Services	
Current Treatment Plan (Action)	Due Date	Responsibility	
Finalise private property application and approval process	May-20	Principal Environmental Health Officer	

<b>Failure to Fulfil Compliance Requirements (Statutory, Regulatory)</b>		Risk	Control
		Low	Effective
Risk Responsibility		Manager Financial Services	
Current Treatment Plan (Action)	Due Date	Responsibility	
Promote new Elected Members training (note: this is monitored by WALGA)	Oct-20	Manager Governance HR	

<b>IT, Communication Systems and Infrastructure</b>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Information Services	
Current Treatment Plan (Action)	Due Date	Responsibility	
Develop software licence register	Dec-20	IT Manager	

<b>Document Management Processes</b>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Information Services	
Current Treatment Plan (Action)	Due Date	Responsibility	
Improve Document security (physical) at Dardanup Administration	Dec-20	Manager Information Services	
Suitability of the Archival Storage Facility	Dec-20	Manager Information Services	

<b>Misconduct</b>		Risk	Control
		Moderate	Effective
Risk Responsibility		Manager Financial Services	
Current Treatment Plan (Action)	Due Date	Responsibility	

# (Appendix AAR: 8.1A)



## Risk Dashboard Report - June 2020

<u>Employment Practices</u>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Governance & HR	
Current Treatment Plan (Action)	Due Date	Responsibility	

<u>Project/Change Management</u>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Operations	
Current Treatment Plan (Action)	Due Date	Responsibility	
Standardise a formal structure for all projects from conception to completion	Jun-20	Director Infrastructure Services	

<u>Engagement Practices</u>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Community Services	
Current Treatment Plan (Action)	Due Date	Responsibility	
Communicate Customer Service Charter	May-20	Manager Governance & HR	

<u>Safety and Security Practices</u>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Governance & HR	
Current Treatment Plan (Action)	Due Date	Responsibility	
Implement site specific inductions for Council Properties	Dec-20	OSH	

<u>Environment Management</u>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Operations	
Current Treatment Plan (Action)	Due Date	Responsibility	
Develop Environmental Management Plan	Jul-20	Manager Operations	
Investigate former waste site at L64 Henty Road	Jun-20	Manager Operations	
Develop Waste Management Plan	Jun-20	Manager Operations	
Improve Vermin Control Programs	Dec-20	Manager Operations	

<u>Supplier and Contract Management</u>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Operations	
Current Treatment Plan (Action)	Due Date	Responsibility	
Standardise a formal contract management process, this will require cross organisational discussions	Sep-20	Procurement Officer	
Centralisation of one unified Contract Register	Sep-20	Compliance Officer	

<u>Errors, Omissions and Delays</u>		Risk	Control
		Moderate	Adequate
Risk Responsibility		Manager Governance & HR	
Current Treatment Plan (Action)	Due Date	Responsibility	
Review Staff Training and Development Plan	Jun-20	Manager Governance & HR	

## RISK ASSESSMENT TOOL

**OVERALL RISK EVENT:** Risk Dashboard Biannual Report

**RISK THEME PROFILE:**

3 - Failure to Fulfil Compliance Requirements (Statutory, Regulatory)

**RISK ASSESSMENT CONTEXT:** Strategic

CONSEQUENCE CATEGORY	RISK EVENT	PRIOR TO TREATMENT OR CONTROL			RISK ACTION PLAN (Treatment or controls proposed)	AFTER TREATMENT OR CONTROL		
		CONSEQUENCE	LIKELIHOOD	INHERENT RISK RATING		CONSEQUENCE	LIKELIHOOD	RESIDUAL RISK RATING
<b>HEALTH</b>	No risk event identified for this category.	Not Required - No Risk Identified	N/A	N/A	Not required.	Not required.	Not required.	Not required.
<b>FINANCIAL IMPACT</b>	No risk event identified for this category.	Not Required - No Risk Identified	N/A	N/A	Not required.	Not required.	Not required.	Not required.
<b>SERVICE INTERRUPTION</b>	No risk event identified for this category.	Not Required - No Risk Identified	N/A	N/A	Not required.	Not required.	Not required.	Not required.
<b>LEGAL AND COMPLIANCE</b>	Failure to fulfil compliance obligations pursuant to the Local Government (Audit) Regulations 1996, Regulation 17.	Moderate (3)	Rare (1)	Low (1 - 4)	Not required.	Not required.	Not required.	Not required.
<b>REPUTATIONAL</b>	Council's reputation could be seen in a negative light for not adhering to its requirement to fulfil duties and functions that are prescribed in legislation.	Moderate (3)	Rare (1)	Low (1 - 4)	Not required.	Not required.	Not required.	Not required.
<b>ENVIRONMENT</b>	No risk event identified for this category.	Not Required - No Risk Identified	N/A	N/A	Not required.	Not required.	Not required.	Not required.

**(Appendix AAR:8.1B)**

## RISK ASSESSMENT TOOL

**OVERALL RISK EVENT:** Financial Management Systems Review - Update

**RISK THEME PROFILE:**

3 - Failure to Fulfil Compliance Requirements (Statutory, Regulatory)

**RISK ASSESSMENT CONTEXT:** Strategic

CONSEQUENCE CATEGORY	RISK EVENT	PRIOR TO TREATMENT OR CONTROL			RISK ACTION PLAN (Treatment or controls proposed)	AFTER TREATMENT OR CONTROL		
		CONSEQUENCE	LIKELIHOOD	INHERENT RISK RATING		CONSEQUENCE	LIKELIHOOD	RESIDUAL RISK RATING
<b>HEALTH</b>	No risk event identified for this category.	Not Required - No Risk Identified	N/A	N/A	Not required.	Not required.	Not required.	Not required.
<b>FINANCIAL IMPACT</b>	No risk event identified for this category.	Not Required - No Risk Identified	N/A	N/A	Not required.	Not required.	Not required.	Not required.
<b>SERVICE INTERRUPTION</b>	No risk event identified for this category.	Not Required - No Risk Identified	N/A	N/A	Not required.	Not required.	Not required.	Not required.
<b>LEGAL AND COMPLIANCE</b>	Failure to fulfil compliance obligations pursuant to regulation 5(2)(c) of the Local Government (Financial Management) Regulations 1996	Moderate (3)	Rare (1)	Low (1 - 4)	Not required.	Not required.	Not required.	Not required.
<b>REPUTATIONAL</b>	Council's reputation could be seen in a negative light for not adhering to its requirement to fulfil duties and functions that are prescribed in legislation.	Moderate (3)	Rare (1)	Low (1 - 4)	Not required.	Not required.	Not required.	Not required.
<b>ENVIRONMENT</b>	No risk event identified for this category.	Not Required - No Risk Identified	N/A	N/A	Not required.	Not required.	Not required.	Not required.