

## Shire of York Risk Dashboard Report June 2019

<b>Asset Sustainability practices</b>			Risk	Control
			Moderate	Adequate
Failure or reduction in service of infrastructure assets, plant, equipment or machinery. These include fleet, buildings, roads and playgrounds and all other assets during their lifecycle from procurement to disposal.				
Actions	Due Date	Responsibility		
Training needs submitted to 2019/20 Budget process	Mar-19	EMIDS		
Develop annual training program for staff that includes refresher training in procurement.	Jun-19	EMCCS		
Review Asset Management Plans and submit for adoption by Council	Jun-19	ETO		
Develop and implement procedure for submitting insurance claims	Sep-19	IT/P		
Formalise Asset Disposal Process	Sep-19	EMIDS		
Develop asset replacement program for capital equipment and vehicles	Dec-19	IT/P		
Develop and implement asset management processes	Dec-19	TSO/PMO		
Undertake building risk assessments in consultation with LGIS	Dec-19	TSO/PMO		
Maintenance and repairs to be documented as part of AMP's	Dec-19	ETO		

<b>Business &amp; Community disruption</b>			Risk	Control
			Moderate	Effective
Failure to adequately prepare and respond to events that cause disruption to the local community and / or normal business activities. This could be a natural disaster, weather event, or an act carried out by an external party (e.g. sabotage / terrorism).				
Actions	Due Date	Responsibility		
Distribute and seek feedback from staff regarding Business Continuity Framework	Jun-19	IT/P		
Assign funding in the budget to purchase a generator	Superseded	EMIDS		
Schedule testing of IT Security Plan and Business Continuity Framework procedures for effectiveness	Dec-19	IT/P		
Investigate the installation of infrastructure to facilitate hire of a generator in the event of an emergency.	Feb-20	DSC		

<b>Failure to fulfil Compliance requirements (statutory, regulatory)</b>			Risk	Control
			Moderate	Effective
Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated internal & public domain legal documentation.				
Actions	Due Date	Responsibility		
Develop a process for internal audit.	Jun-19	EMCCS		
Review the Risk Register bi-annually	On-going	EMCCS		
Undertake training for staff that includes refresher training on policies and procedures including changes to the Local Government Act.	On-going	EMCCS		
Establish an OSH Working Group separate to Risk Working Group	Sep-19	EMIDS		

<b>Document Management processes</b>			Risk	Control
			Moderate	Effective
Failure to adequately capture, store, archive, retrieve, provide or dispose of documentation.				
Actions	Due Date	Responsibility		
Develop annual training program for staff that includes refresher training on records	Jun-19	EMCCS		
Need to work on more procedures to ensure there is more staff accountability	On-going	AGC		
Develop a culture of good record-keeping	On-going	EMG		
Develop succession planning strategies	On-going	EMCCS		
Undertake training for records management	Dec-19	AGC		
Develop Records Management Strategic Plan	Jun-20	AGC		
Update the Records Management Plan	Dec-20	AGC		

<b>Employment practices</b>			Risk	Control
			Moderate	Adequate
Failure to effectively manage and lead human resources (full-time, part-time, casuals, temporary and volunteers).				
Actions	Due Date	Responsibility		
Develop and implement staff exit procedure	Dec-17	ESOCSS		
Review Performance Management Process annually	On-going	EMCCS		
Ensure annual budget allocation to subscribe to WALGA HR assistance services	On-going	EMCCS		
Develop and implement annual training program for staff that includes refresher training on policies and procedures	On-going	EMCCS		
Update Uniform Policy with consideration to OSH	Dec-19	EMG		
Review Workforce Plan	Apr-20	EMCCS		

<b>Engagement practices</b>			Risk	Control
			Low	Effective
Failure to maintain effective working relationships with the Community (including local Media), Stakeholders, Key Private Sector Companies, Government Agencies and / or Elected Members. This includes activities where communication, feedback or consultation is required and where it is in the best interests to do so.				
Actions	Due Date	Responsibility		
Develop an annual training program for staff that includes refresher training on the Customer Service Charter and Complaints Procedures.	Jun-19	EMCCS / CEDO		
Develop Statement of Business Ethics	Jun-19	EMCCS		
Implement the actions contained in the Disability Access and Inclusion Plan	Jun-22	All staff		

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Environment management			Risk	Control
Inadequate prevention, identification, enforcement and management of environmental issues.			Moderate	Adequate
Actions	Due Date	Responsibility		
Undertake mosquito fogging on an as needs basis.	On-going	EHO		
Conduct a recycling education program once new waste collection contract is signed.	Dec-19	EHO		
Develop a strategy to manage corella control in the Shire of York.	Dec-19	DSC		
Develop and implement procedures for the use of hazardous chemicals to include strategies for community consultation	Mar-20	EMIDS		

Errors, omissions & delays			Risk	Control
Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process including incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff.			Moderate	Effective
Actions	Due Date	Responsibility		
Develop and implement a staff training program that includes refresher training on procurement, complaints, customer service, records.	Jun-19	EMCCS		
Develop organisational templates in relation to procurement management	Jun-19	EMCCS		
Undertake a Procurement Review and present findings and recommendations to the Audit Committee	Jun-19	EMCCS		
Undertake training to include amendments to the Procurement Policy and the new Procurement Manual	Dec-19	EMCCS		
Review Interim Audit Management Letter and implement recommendations made	Dec-19	EMG		

External theft & fraud (Including Cyber)			Risk	Control
Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means (including electronic).			High	Adequate
Actions	Due Date	Responsibility		
Install security gate at Depot and document procedures	Jun-19	DAO		
Update registers of users, key/toggle holders including access to depot	Annually	IT/P / TSO		
Review procedures and provide refresher training on cash handling	Annually	FM		
Develop and implement procedures for use of EFTPOS at Museum	Dec-19	IT/P / MC		
Install lighting and security at Old Recreation Centre	Jun-20	EMIDS		
Document clear internal processes and systems to report any potential fraud, that include anonymous reporting	Jun-20	EMCCS		

Management of Facilities / Venues / Events			Risk	Control
Failure to effectively manage the day to day operations of facilities, venues and / or events.			Low	Adequate
Actions	Due Date	Responsibility		
Undertake an events review and develop/implement strategies to improve processes, approvals and monitoring.	Sep-19	EEDO		
Investigate online booking system to be integrated into Shire website for community bookings	Sep-19	AGC		
Booking forms to include details of Evacuation Plans for all facilities	Dec-19	TSO/AGC		
Review signage for all venues giving consideration to the Access and Inclusion Audit	Jun-20	PMO		

IT or communication systems and infrastructure			Risk	Control
Disruption, financial loss or damage to reputation from a failure of information technology systems. Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the			Moderate	Adequate
Actions	Due Date	Responsibility		
Investigate and implement transition to new communications provider	Jun-19	IT/P		
Improve levels of service at Shire outstations (ie museum, swimming pool, depot, YRCC)	Jun-19	IT/P		
Arrange installation of EFTPOS facilities at the Museum	Sep-19	IT/P		
Migrate email addresses from role-based to individual officers	Jun-20	IT/P		

Misconduct			Risk	Control
Intentional activities intended to circumvent the Code of Conduct or activities in excess of authority, which circumvent endorsed policies, procedures or delegated authority.			Moderate	Adequate
Actions	Due Date	Responsibility		
Undertake training for all staff on HR policies and procedures	Jun-19	EMCCS		
Develop and implement an annual staff training program that includes refresher training in HR policies and procedures.	Jun-19	EMCCS		
Review cash handling procedures for outstations	Sep-19	FM		
Review user access to SynergySoft	Dec-19	IT/P / EMG		

## Shire of York Risk Dashboard Report June 2019

Project / Change management			Risk	Control
			Moderate	Adequate
Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time delays or scope changes.				
Actions	Due Date	Responsibility		
<i>Project plans including milestones, reporting, stakeholder engagement, risk assessment and formal debriefs are documented for projects</i>	<i>Jun-19</i>	<i>Relevant staff</i>		
<i>Develop and implement an annual staff training program that includes refresher training on project management.</i>	<i>Jun-19</i>	<i>EMCCS</i>		
<i>Develop and distribute project planning template to all staff.</i>	<i>Dec-19</i>	<i>EMCCS</i>		
<i>Undertake staff training to include amendments to Procurement Policy and new Procurement Manual</i>	<i>Dec-19</i>	<i>EMCCS</i>		
<i>Develop and implement procedures around Grants Management</i>	<i>Dec-19</i>	<i>FM</i>		

Safety and Security practices			Risk	Control
			Moderate	Adequate
Non-compliance with the Occupation Safety & Health Act, associated regulations and standards. It is also the inability to ensure the physical security requirements of staff, contractors and visitors. Other considerations are negligence or carelessness.				
Actions	Due Date	Responsibility		
<i>Develop procedures for the implementation of the Alcohol &amp; Other Drugs Policy</i>	<i>Jan-18</i>	<i>EMCCS</i>		
<i>Undertake training in HR policies</i>	<i>Mar-19</i>	<i>EMCCS</i>		
<i>Adopt the OSH Policy and Safety Manuals for staff</i>	<i>May-19</i>	<i>EMCCS</i>		
<i>Implement the recommendations of the Emergency Exercise report</i>	<i>Jun-19</i>	<i>TSO</i>		
<i>Update Evacuation Plans for the Depot to include new security gates and undertake emergency exercise</i>	<i>Sep-19</i>	<i>EMIDS</i>		
<i>Access register to be developed and maintained for Depot</i>	<i>Sep-19</i>	<i>DAO</i>		
<i>Review Safety Wardens at outstations and provide training</i>	<i>Jun-20</i>	<i>EMIDS</i>		

Supplier / Contract management			Risk	Control
			Moderate	Adequate
Inadequate management of external Suppliers, Contractors, IT Vendors or Consultants engaged for core operations. This includes issues that arise from the ongoing supply of services or failures in contract management & monitoring processes.				
Actions	Due Date	Responsibility		
<i>Establish, maintain and monitor a register of contracts.</i>	<i>Jun-18</i>	<i>TSO</i>		
<i>Provide contractor induction training</i>	<i>Jun-19</i>	<i>TSO</i>		
<i>Develop Statement of Business Ethics</i>	<i>Jun-19</i>	<i>EMCCS</i>		
<i>Seek explanations for non-compliance and provide information on PO before authorisation</i>	<i>On-going</i>	<i>EMG</i>		
<i>Implement procedures for online contractor inductions</i>	<i>Dec-19</i>	<i>TSO</i>		
<i>Develop and implement a process for progress reporting on Shire contracts.</i>	<i>Jun-20</i>	<i>EMIDS</i>		

Acronym	Responsible Officer
AGC	Administration and Governance Coordinator
CEDO	Community Economic Development Officer
DAO	Depot Administration Officer
DSC	Development Services Coordinator
EEDO	Events and Economic Development Officer
EHO	Environmental Health Officer
EMCCS	Executive Manager Corporate and Community Services
EMG	Executive Management Group
EMIDS	Executive Manager Infrastructure and Development Services
ESOCCS	Executive Support Officer Corporate and Community Services
ETO	Engineering Technical Officer
FM	Finance Manager
IT/P	Information Technology/Payroll Coordinator
MC	Museum Curator
PMO	Property Maintenance Officer
TSO	Technical Services Officer