

# RISK CONTROL ACTION PLAN



**Risk Description:** 1. LOSS OF WATER SUPPLY

**Risk Owner:** Manager Water and Sewerage

Consequence Rating: Significant

Likelihood Rating: Possible

Inherent Risk Rating: High

Control Assessment: Qualified

Residual Risk Rating: Medium

## Existing Mitigation and Control Processes

1. Spare pump (some installations), otherwise Duty/Standby Pumps
2. Physical performance monitoring of pump outputs and water levels
3. Routine water analysis for quality control
4. On-call access to established contractors (electrical)
5. Proactive maintenance regimes
6. Reactive maintenance (breakdowns and pipe bursts)
7. Bowra Dam constructed
8. Monitoring trunk main leakage
9. Water restrictions regime

## Proposed new or enhanced Mitigation and Control Processes

1. Upgrade town pump installations including standby where appropriate
2. Installation of telemetry control and alarm system for headworks equipment
3. Increased frequency of pump performance trends analysis and additional inputs to performance monitoring
4. Increased proactive pump maintenance schedules
5. Enhanced spending on proactive mains replacement and upgrade programs
6. Develop additional staff skills base
7. Identify system requirements for future upgrades
8. Cross connection of trunk mains to provide redundancy

## Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Two (2) x trunk main cross connections \$150K (2019)
- Infrastructure renewals in accordance with Asset Management Plans

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Manager Water and Sewerage

## Plan Approval

**Submitted for Approval by:** Manager Water and Sewerage

**General Manager Approval:**

# RISK CONTROL ACTION PLAN



**Risk Description:** 2. ASSET MANAGEMENT SYSTEMS NOT OPERATING EFFECTIVELY

**Risk Owner:** Assistant General Manager Engineering Services / Manager Assets / Chief Financial Officer

Consequence Rating: Moderate  
Likelihood Rating: Possible  
Inherent Risk Rating: High  
Control Assessment: Effective  
Residual Risk Rating: Low

## Existing Mitigation and Control Processes

1. Asset Management Committee in place
2. Asset policies and asset management plans updated
3. Internal and external audit reviews of systems

## Proposed new or enhanced Mitigation and Control Processes

1. All assets to be itemised and revalued
2. All asset information to be captured in a central location
3. Gap analysis to be carried out on the state of Council's asset portfolio

## Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Consideration of a dedicated assets software program as part of Council's corporate system  
\$350k plus

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Manager Assets

## Plan Approval

**Submitted for Approval by:** Manager Assets  
**General Manager Approval:**



**Risk Description:** 3. SPREAD OF NOXIOUS/ENVIRONMENTAL WEEDS

**Risk Owner:** Assistant General Manager Engineering Services / Manager Infrastructure Services

Consequence Rating: Significant  
Likelihood Rating: Likely  
Inherent Risk Rating: High  
Control Assessment: Qualified  
Residual Risk Rating: Medium

### Existing Mitigation and Control Processes

1. Noxious Weeds Inspector employed
2. Property inspection program
3. Spraying program
4. DPI Categorisation of weeds – judicial enforcement
5. Landholder compliance
6. Attendance at field days

### Proposed new or enhanced Mitigation and Control Processes

1. Weed mapping of infestations
2. Program for property and Council land inspections
3. Potential environmental weed control utilising steam

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Cost of steam and its relevancies are being determined

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Assistant General Manager Engineering Services

### Plan Approval

**Submitted for Approval by:** Assistant General Manager Engineering Services

**General Manager Approval:**



**Risk Description:** 4. POOR HANDLING OF ASBESTOS IN COUNCIL BUILDINGS / OTHER PROPERTY

**Risk Owner:** Assistant General Manager Engineering Services / Manager Assets / Manager Water and Sewerage

Consequence Rating: Catastrophic

Likelihood Rating: Possible

Inherent Risk Rating: High

Control Assessment: Effective

Residual Risk Rating: Low

### Existing Mitigation and Control Processes

1. Staff member trained in asbestos identification and handling
2. Contractors to be engaged to remove asbestos
3. Waste depot procedure in place for disposal of asbestos
4. Asbestos management plan for each building

### Proposed new or enhanced Mitigation and Control Processes

1. Review Council's Asbestos Management Policy
2. Remove all identified asbestos from Council buildings and other assets such as old water pipes where required

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Will form part of ongoing buildings and infrastructure maintenance budgets.

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Manager Assets

### Plan Approval

**Submitted for Approval by:** Manager Assets

**General Manager Approval:**



**Risk Description:** 5. BREACH OF REGULATORY AND LEGISLATIVE OBLIGATIONS

**Risk Owner:** MANEX A

Consequence Rating: Significant  
Likelihood Rating: Almost Certain  
Inherent Risk Rating: Extreme  
Control Assessment: Effective  
Residual Risk Rating: Low

**Existing Mitigation and Control Processes**

1. Training of staff and policies and procedures in place
2. Legislative changes advised by OLG, LGNSW, professional bodies, government agencies and via e-mail from Local Government Legal
3. Government Gazette regularly distributed, subscriptions to magazines/periodicals and attendance at seminars
4. Internal Audit Plan developed
5. Enterprise Risk Management Plan completed

**Proposed new or enhanced Mitigation and Control Processes**

1. Continue to revise ERM plan

**Infrastructure Requirements and Estimated Cost to Implement Proposed Changes**

- Nil

**Estimated Completion Date:** Ongoing

**Improvement Owner:** General Manager

**Plan Approval**

**Submitted for Approval by:** General Manager  
**General Manager Approval:**

# RISK CONTROL ACTION PLAN



**Risk Description:** 6. INADEQUATE MANAGEMENT REPORTING

**Risk Owner:** Assistant General Manager Corporate Services

Consequence Rating: Significant

Likelihood Rating: Likely

Inherent Risk Rating: High

Control Assessment: Qualified

Residual Risk Rating: Medium

## Existing Mitigation and Control Processes

1. Committal of purchase orders and electronic ordering in place
2. Authority reports available
3. Quarterly reporting
4. Monthly capital expenditure reports to Council

## Proposed new or enhanced Mitigation and Control Processes

1. Fortnightly expenditure reports for Engineering Department
2. Conduct a needs analysis to ascertain the requirements of all managers

## Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Assistant General Manager Corporate Services to conduct needs analysis. Salary cost included in budget.

**Estimated Completion Date:** 31 December 2018

**Improvement Owner:** Assistant General Manager Corporate Services

## Plan Approval

**Submitted for Approval by:** Assistant General Manager Corporate Services

**General Manager Approval:**

# RISK CONTROL ACTION PLAN



**Risk Description:** 7. FRAUDULENT MISAPPROPRIATION OF COUNCIL MONIES

**Risk Owner:** Assistant General Manager Corporate Services / Manager Financial Services

Consequence Rating: Significant

Likelihood Rating: Likely

Inherent Risk Rating: High

Control Assessment: Qualified

Residual Risk Rating: Medium

## Existing Mitigation and Control Processes

1. Cash handling and cheque signing procedures in place
2. Investment strategy and policy in place
3. Segregation of duties – banking, receipting, mail register, cancellation of receipts, checking of vouchers, checking of payroll output
4. Internal Audit Plan developed
5. Fraud Strategy and Policy adopted
6. Delegations Register in place
7. Card only payment at Waste Facility

## Proposed new or enhanced Mitigation and Control Processes

1. Procurement and stores to be reviewed

## Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Internal Audit program to include procurement and stores 2019/20

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Assistant General Manager Corporate Services

## Plan Approval

**Submitted for Approval by:** Assistant General Manager Corporate Services

**General Manager Approval:**



**Risk Description:** 8. FAILURE TO DELIVER SUCCESSFUL PROJECT OUTCOMES

**Risk Owner:** MANEX A

Consequence Rating: Significant  
Likelihood Rating: Almost Certain  
Inherent Risk Rating: Extreme  
Control Assessment: Requires Improvement  
Residual Risk Rating: High

### Existing Mitigation and Control Processes

1. Major projects tendered
2. Budget reports on costing
3. Monthly reporting for the project including:
  - Actual cost v Budgeted cost
  - Progress against timeframes
  - Key project KPI's

### Proposed new or enhanced Mitigation and Control Processes

1. Project plans scoped in advance and costed for budget across all departments

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Projects are derived from the Asset Management Plans and matched with Council's Delivery and Long Term Financial Plans

**Estimated Completion Date:** Ongoing

**Improvement Owner:** General Manager / Assistant General Manager Engineering Services

### Plan Approval

**Submitted for Approval by:** General Manager

**General Manager Approval:**





**Risk Description:** 9. INADEQUATE MANAGEMENT OF WASTE DISPOSAL/FACILITIES

**Risk Owner:** Assistant General Manager Engineering Services

Consequence Rating: Significant

Likelihood Rating: Possible

Inherent Risk Rating: High

Control Assessment: Qualified

Residual Risk Rating: Medium

**Existing Mitigation and Control Processes**

1. Operation in accordance with licence
2. Procedures for landfill in place
3. Contracts are in place for all contractors outlining obligations

**Proposed new or enhanced Mitigation and Control Processes**

1. Review Contractors Policy
2. Prepare and implement Landfill Environmental Management plan including risks, signage, access roads, barriers to minimise public access to cells

**Infrastructure Requirements and Estimated Cost to Implement Proposed Changes**

- Nil

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Assistant General Manager Engineering Services

**Plan Approval**

**Submitted for Approval by:** Assistant General Manager Engineering Services

**General Manager Approval:**

# RISK CONTROL ACTION PLAN



**Risk Description:** 10. LOSS OF POTENTIAL INCOME THROUGH INADEQUATE GRANT APPLICATIONS AND KNOWLEDGE

**Risk Owner:** General Manager

Consequence Rating: Moderate  
Likelihood Rating: Possible  
Inherent Risk Rating: High  
Control Assessment: Effective  
Residual Risk Rating: Low

## Existing Mitigation and Control Processes

1. Grants Officer employed full time
2. Contractor used where necessary for detailed applications
3. Grant opportunities advised through numerous newsletters and e-mails from various sources

## Proposed new or enhanced Mitigation and Control Processes

1. Review grant availability literature

## Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Nil

**Estimated Completion Date:** Ongoing

**Improvement Owner:** General Manager

## Plan Approval

**Submitted for Approval by:** General Manager  
**General Manager Approval:**



**Risk Description:** 11. FAILURE TO MEET WATER QUALITY AND SEWER LICENCE CONDITIONS

**Risk Owner:** Manager Water Services

Consequence Rating: Moderate  
Likelihood Rating: Almost Certain  
Inherent Risk Rating: High  
Control Assessment: Qualified  
Residual Risk Rating: Medium

### Existing Mitigation and Control Processes

1. Trained operators
2. Risk-based Water Quality Management Plan
3. Dam construction
4. Regular reservoir inspections and cleaning
5. Mains flushing program
6. Proactive sewer maintenance program
7. Testing regime for sewage treatment plant performance
8. Enforcement of Liquid Trade Waste and Backflow policies
9. Checking of Licence Conditions to ensure they are met

### Proposed new or enhanced Mitigation and Control Processes

1. Additional / improved water treatment infrastructure
2. Real time monitoring of chlorine residuals at the extremity of the water supply system
3. Increased investigation of sources of inflow and infiltration
4. Program to eliminate identified sources of inflow and infiltration

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- UV treatment system \$2.18M (2021)
- Chlorine residual monitoring \$40K (2019)

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Manager Water and Sewerage

### Plan Approval

**Submitted for Approval by:** Manager Water and Sewerage  
**General Manager Approval:**

# RISK CONTROL ACTION PLAN



**Risk Description:** 12. LOSS OF FEES AND INADEQUATE PLANS IN PLACE (SECTIONS 7.11 AND 12 FEES)

**Risk Owner:** General Manager

Consequence Rating: Significant  
Likelihood Rating: Possible  
Inherent Risk Rating: High  
Control Assessment: Effective  
Residual Risk Rating: Low

## Existing Mitigation and Control Processes

1. Policies and procedures for DA's
2. Multiple signatories to any DA approved
3. Cost guidelines for various types of development
4. S7.11 and 12 (old S94) Plans in place

## Proposed new or enhanced Mitigation and Control Processes

1. Review and upgrade all checklists
2. Review Plans, income and expenditure programs
3. Establish a database for receipting funds linked to S64 plans and work programs
4. Complete Integrated Water Cycle Management (IWCM) Strategy

## Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Consultant fees for completion of IWCM included in current budget

**Estimated Completion Date:** March 2019

**Improvement Owner:** General Manager

## Plan Approval

**Submitted for Approval by:** General Manager  
**General Manager Approval:**



**Risk Description:** 13. DETERIORATION OF ROAD INFRASTRUCTURE

**Risk Owner:** Manager Infrastructure Services / Manager Assets

Consequence Rating: Catastrophic  
Likelihood Rating: Almost Certain  
Inherent Risk Rating: Extreme  
Control Assessment: Qualified  
Residual Risk Rating: High

**Existing Mitigation and Control Processes**

1. Road inspections
2. Customer requests
3. Maintenance and construction budgets
4. Utilisation of new technology / plant
5. Training of plant operators
6. Detailed Asset Management Plans
7. Maintenance Management System

**Proposed new or enhanced Mitigation and Control Processes**

1. Implementation of Asset Management software and data collection in the field, road inspections program.
2. Regular review of Asset Management Plans
3. Training plan for outdoor staff to develop additional staff skills base.
- 4.

**Infrastructure Requirements and Estimated Cost to Implement Proposed Changes**

Refer to current budget and Roads Asset Management Plan. A comprehensive Roads Asset Management Plan has been developed which provides Council with a condition assessment of its roads assets. From that, programs are developed to repair, seal or replace the assets as required depending on resources.

The software has been upgraded and it is planned to utilise these tools to manage Council's local and regional road assets. This will improve asset management and service delivery for the community.

It is apparent that maintenance requirements for all road assets exceed the available funds. To improve the road network to an acceptable condition it is estimated that funding needs to be increased by at least 30% to allow for increased heavy patching, patching, crack sealing, shoulder grading and bitumen resealing on Council's sealed road network.

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Manager Infrastructure Services

**Plan Approval**

**Submitted for Approval by:** Manager Infrastructure Services

**General Manager Approval:**

**Risk Description:** 14. BREAKDOWN OF WATER AND SEWERAGE INFRASTRUCTURE

**Risk Owner:** Manager Water and Sewerage

Consequence Rating: Catastrophic  
Likelihood Rating: Almost Certain  
Inherent Risk Rating: Extreme  
Control Assessment: Qualified  
Residual Risk Rating: Medium

### Existing Mitigation and Control Processes

1. Physical performance monitoring of pump outputs and water levels
2. Physical performance monitoring of pump operation (sewer)
3. Regular inspection of key head works assets
4. Sewer pipe inspection and repair contracts
5. On-call access to established specialist contractors (eg electrical and sewage handling)
6. Proactive maintenance regimes and budgets
7. Reactive maintenance budgets available
8. Maintain on call staff roster

### Proposed new or enhanced Mitigation and Control Processes

1. Identify system requirements for future upgrades including consultant based designs and reports
2. Installation of telemetry control and alarm system for head works
3. Increased frequency of pump performance trends and additional inputs to performance monitoring
4. Increased proactive pump maintenance schedules
5. Enhanced spending on proactive mains replacement and upgrade programs
6. Develop additional staff skills base and facilitate adequate resources for operations
7. Introduce retrospective policy enforcement such as Liquid Trade Waste and Backflow policies
8. Prepare an emergency plan that could be implemented in the event that water could not be supplied.

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- In accordance with Asset Management Plans

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Manager Water and Sewerage

### Plan Approval

**Submitted for Approval by:** Manager Water and Sewerage

**General Manager Approval:**



**Risk Description:** 15. WATER CONTAMINATION

**Risk Owner:** Manager Infrastructure Services

Consequence Rating: Catastrophic

Likelihood Rating: Unlikely

Inherent Risk Rating: High

Control Assessment: Effective

Residual Risk Rating: Low

### Existing Mitigation and Control Processes

1. Regular inspections and testing of existing disinfection systems
2. Monitoring against ADWG publication parameters
3. Participation in NSW drinking water testing scheme
4. Operation and maintenance of Water Treatment Plant to accepted guidelines
5. Minimise sewer surcharge events
6. Backflow prevention policy
7. Asset Management Strategy established
8. Dual water source through dam and bores

### Proposed new or enhanced Mitigation and Control Processes

1. Enhance remote water quality monitoring capabilities in all supplies
2. Partnerships with other groups in catchment management projects
3. Upgrade Water Treatment Plant
4. Continue staff training development on disinfection operation and processes
5. Proactive involvement with participation on water quality committees
6. Increase water quality testing in reticulation and increase operational testing such as raw water baseline monitoring and trending
7. Improve effluent quality in Sewer Treatment Plants

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

1. UV treatment system \$2.18M
2. Real time chlorine residual monitoring \$40K

**Estimated Completion Date:** 1. 2021  
2. 2019

**Improvement Owner:** Manager Water and Sewerage

### Plan Approval

**Submitted for Approval by:** Manager Water and Sewerage  
**General Manager Approval:**



**Risk Description:** 16. INABILITY TO EFFECTIVELY DEAL WITH COMMUNITY EMERGENCIES

**Risk Owner:** General Manager / Assistant General Manager Engineering Services

Consequence Rating: Catastrophic  
Likelihood Rating: Likely  
Inherent Risk Rating: Extreme  
Control Assessment: Effective  
Residual Risk Rating: High

### Existing Mitigation and Control Processes

1. LEM and committee established
2. RFS/SES control centres
3. Dam safety upgrade and early warning system completed
4. Drainage plans completed, flood studies underway, rural addressing, creek clearing
5. Disaster relief grants available
6. Back-up generator and duplicate operation centres at Depot and Administration Centre
7. Consequence management plans are endorsed by the REMC

### Proposed new or enhanced Mitigation and Control Processes

1. Development of LEMC consequence management plans through the LEMC
2. Conduct desktop exercise to test consequence management plans
3. Complete rural addressing
4. Identify alternate location for plant and equipment

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Nil

**Estimated Completion Date:** ongoing

**Improvement Owner:** Assistant General Manager Engineering Services

### Plan Approval

**Submitted for Approval by:** Assistant General Manager Engineering Services  
**General Manager Approval:**



# RISK CONTROL ACTION PLAN



**Risk Description:** 17. INTERRUPTION TO COUNCIL OPERATIONS

**Risk Owner:** Assistant General Manager Corporate Services / General Manager

Consequence Rating: Significant

Likelihood Rating: Likely

Inherent Risk Rating: High

Control Assessment: Effective

Residual Risk Rating: Low

## Existing Mitigation and Control Processes

1. Computer systems backup kept off site
2. Business Continuity Plan in place
3. Staff training for evacuations (fire etc)
4. Emergency Management Plan in place

## Proposed new or enhanced Mitigation and Control Processes

1. Evacuation drills every six (6) months

## Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Nil – included in salaries budget

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Assistant General Manager Corporate Services

## Plan Approval

**Submitted for Approval by:** Assistant General Manager Corporate Services

**General Manager Approval:**



**Risk Description:** 18. FAILURE OF STORMWATER DRAINAGE SYSTEMS

**Risk Owner:** Manager Infrastructure Services / Manager Assets

Consequence Rating: Significant

Likelihood Rating: Likely

Inherent Risk Rating: High

Control Assessment: Qualified

Residual Risk Rating: Medium

### Existing Mitigation and Control Processes

1. Funds included for drainage maintenance and capital works in budget
2. Stormwater drainage strategies
3. Staff engaged with relevant experience
4. Stormwater Drainage Asset Management Plans developed

### Proposed new or enhanced Mitigation and Control Processes

1. Implement CCTV inspections to improve data, condition and assessment of risk

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Approximately \$100k allocated each year

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Manager Infrastructure Services

### Plan Approval

**Submitted for Approval by:** Manager Infrastructure Services

**General Manager Approval:**

# RISK CONTROL ACTION PLAN



**Risk Description:** 19. INADEQUATE RESERVES TO MEET UNPLANNED EXPENDITURES

**Risk Owner:** Assistant General Manager Corporate Services / Chief Financial Officer

Consequence Rating: Moderate  
Likelihood Rating: Likely  
Inherent Risk Rating: High  
Control Assessment: Qualified  
Residual Risk Rating: Medium

## Existing Mitigation and Control Processes

1. Investment Policy and Strategy in place
2. Provision in budget for reserve transfers (Adhere to Operational Plan)
3. Monthly leave reports to managers
4. Policy on minimum reserve amounts

## Proposed new or enhanced Mitigation and Control Processes

1. Plan for surplus budgets in the future where possible
2. Increased follow –up on outstanding debtors especially water
3. Strategy and ongoing review of appropriate reserve levels

## Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Nil.

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Chief Financial Officer

## Plan Approval

**Submitted for Approval by:** Chief Financial Officer

**General Manager Approval:**



**Risk Description:** 20. PAYROLL ERRORS

**Risk Owner:** Manager Human Resources

Consequence Rating: Minor  
Likelihood Rating: Almost Certain  
Inherent Risk Rating: High  
Control Assessment: Effective  
Residual Risk Rating: Low

### Existing Mitigation and Control Processes

1. Timesheets checked by supervisors
2. Payroll output checked by the Manager Human Resources and signed by Department heads
3. Internal and external audits
4. IT and finance system controls

### Proposed new or enhanced Mitigation and Control Processes

- Nil

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Funds allocated annually for audit

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Manager Human Resources

### Plan Approval

**Submitted for Approval by:** Manager Human Resources  
**General Manager Approval:**



**Risk Description:** 21. POOR RECORDS MANAGEMENT

**Risk Owner:** Assistant General Manager Corporate Services

Consequence Rating: Minor  
Likelihood Rating: Possible  
Inherent Risk Rating: Medium  
Control Assessment: Qualified  
Residual Risk Rating: Low

### Existing Mitigation and Control Processes

1. Records Management Policy and Program in place
2. Content Manager implemented and training manual and help desk available
3. Staff training/attendance at conferences
4. Additional Content Manager (TRIM) training for staff
5. TRIM upgraded to Content Manager

### Proposed new or enhanced Mitigation and Control Processes

1. Review security levels for Content Manager
2. Review Records Management Policy and Program every second year

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Content Manager budgeted 2018/19 and implemented November 2018

**Estimated Completion Date:** Content Manager implemented November 2018  
Training ongoing.

**Improvement Owner:** Assistant General Manager Corporate Services

### Plan Approval

**Submitted for Approval by:** Assistant General Manager Corporate Services  
**General Manager Approval:**



**Risk Description:** 22. POOR CONTRACT MANAGEMENT

**Risk Owner:** Assistant General Manager Engineering Services / General Manager

Consequence Rating: Moderate  
Likelihood Rating: Possible  
Inherent Risk Rating: High  
Control Assessment: Qualified  
Residual Risk Rating: High

**Existing Mitigation and Control Processes**

1. Up to date policies and procedures on Tendering and Procurement
2. Supervision of contracts
3. Delegations of authority given to all positions, workflows and approvals
4. All contractors registered onto Council's Safety Management System (Vault)

**Proposed new or enhanced Mitigation and Control Processes**

1. Intellectual property to be protected – Content Manager
2. Development of procedures for contract management for the entire organisation and not compartmentalised.
3. Development of procedures for contract management

**Infrastructure Requirements and Estimated Cost to Implement Proposed Changes**

- Training in house

**Estimated Completion Date:**

**Improvement Owner:** Assistant General Manager Engineering Services

**Plan Approval**

**Submitted for Approval by:** Assistant General Manager Engineering Services  
**General Manager Approval:**

# RISK CONTROL ACTION PLAN



**Risk Description:** 23. POOR TOWN PLANNING DECISIONS

**Risk Owner:** Manager Development and Environment

Consequence Rating: Moderate

Likelihood Rating: Likely

Inherent Risk Rating: High

Control Assessment: Qualified

Residual Risk Rating: Medium

## Existing Mitigation and Control Processes

1. LEP in place along with DCP
2. Policies and checklists for DA's
3. Qualified staff and staff training
4. Procedure for checking planning and building certificates
5. Electronic DA checking on website
6. Fraud Management Plan and Policy in place

## Proposed new or enhanced Mitigation and Control Processes

1. Review LEP

## Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- \$5,000

**Estimated Completion Date:** July 2019

**Improvement Owner:** Manager Development and Environment

## Plan Approval

**Submitted for Approval by:** Manager Development and Environment

**General Manager Approval:**



**Risk Description:** 24. POOR CONDITION OF COUNCIL OWNED BUILDINGS

**Risk Owner:** Manager Assets

Consequence Rating: Significant

Likelihood Rating: Likely

Inherent Risk Rating: High

Control Assessment: Qualified

Residual Risk Rating: Medium

### Existing Mitigation and Control Processes

1. Building inspections on a regular basis
2. Staff employed for maintenance of buildings along with budget allocation
3. Buildings Insurance
4. Building and structures asset management plan completed

### Proposed new or enhanced Mitigation and Control Processes

1. Building maintenance plan from asset management system
2. Implement programmed maintenance and preventative maintenance programs
3. Regular contact with the committees of management

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Funds included in annual budgets for maintenance.

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Manager Assets

### Plan Approval

**Submitted for Approval by:** Manager Assets

**General Manager Approval:**





**Risk Description:** 25. BREACH OF COUNCIL POLICY

**Risk Owner:** Assistant General Manager Corporate Services

Consequence Rating: Moderate  
Likelihood Rating: Possible  
Inherent Risk Rating: High  
Control Assessment: Effective  
Residual Risk Rating: Low

**Existing Mitigation and Control Processes**

1. Disciplinary procedures in place
2. Staff training/inductions to new staff and volunteers
3. Policy and Procedures framework adopted
4. Governance and Governance Assurance framework adopted

**Proposed new or enhanced Mitigation and Control Processes**

1. Further training on policies
2. Procedures to be documented for all staff
3. Implement Policy Point software

**Infrastructure Requirements and Estimated Cost to Implement Proposed Changes**

- Software - \$10,000 per annum

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Assistant General Manager Corporate Services

**Plan Approval**

**Submitted for Approval by:** Assistant General Manager Corporate Services  
**General Manager Approval:**

# RISK CONTROL ACTION PLAN



**Risk Description:** 26. INAPPROPRIATE SELECTION OF SERVICE PROVIDER

**Risk Owner:** MANEX A

Consequence Rating: Significant

Likelihood Rating: Likely

Inherent Risk Rating: High

Control Assessment: Effective

Residual Risk Rating: Low

## Existing Mitigation and Control Processes

1. Procurement Policy
2. Tendering Policy
3. Internal and external audit
4. Staff training and delegations

## Proposed new or enhanced Mitigation and Control Processes

1. Review of Tendering and Procurement policy and procedures

## Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Nil

**Estimated Completion Date:**

Ongoing

**Improvement Owner:**

General Manager

## Plan Approval

**Submitted for Approval by:**

General Manager

**General Manager Approval:**

# RISK CONTROL ACTION PLAN



**Risk Description:** 27. LOSS OF SPECIALIST INDUSTRY EXPERTISE AND CORPORATE KNOWLEDGE

**Risk Owner:** General Manager/Manager Human Resources

Consequence Rating: Significant

Likelihood Rating: Likely

Inherent Risk Rating: High

Control Assessment: Qualified

Residual Risk Rating: Medium

## Existing Mitigation and Control Processes

1. Procedures in place for most positions – so that new staff can see what the duties and procedures are
2. Succession and workforce plans
3. Provision of employee benefits – salaries, flexible working hours, job sharing to retain staff
4. Remuneration benchmarking surveys
5. Exit interviews

## Proposed new or enhanced Mitigation and Control Processes

1. Investigate other ways of retaining key staff
2. Review of workforce plan

## Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Nil

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Manager Human Resources

## Plan Approval

**Submitted for Approval by:** Manager Human Resources

**General Manager Approval:**



Risk Description: **28. LOSS OF VOLUNTEERS MANAGING COUNCIL ASSETS AND SERVICES**

Risk Owner: Assistant General Manager Corporate Services / Assistant General Manager Engineering Services

Consequence Rating: Significant  
Likelihood Rating: Possible  
Inherent Risk Rating: High  
Control Assessment: Effective  
Residual Risk Rating: Low

### Existing Mitigation and Control Processes

1. Code of Conduct
2. Police checks, Working with Children checks
3. Volunteers Policy
4. Volunteers Handbook
5. Volunteer Safety Information Handbook and induction training
6. Training for Section 355 committee members

### Proposed new or enhanced Mitigation and Control Processes

1. Hold a volunteer thankyou function annually

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Nil – staff cost included in budget for training of volunteers
- Estimated \$2,000 for volunteer function

**Estimated Completion Date:** Ongoing

**Improvement Owner:** Assistant General Manager Corporate Services

### Plan Approval

**Submitted for Approval by:** Assistant General Manager Corporate Services

**General Manager Approval:**



**Risk Description:** 29. LACK OF DESIGN CAPABILITY WITHIN COUNCIL

**Risk Owner:** Assistant General Manager Engineering Services

Consequence Rating: Moderate

Likelihood Rating: Possible

Inherent Risk Rating: High

Control Assessment: Effective

Residual Risk Rating: Low

### Existing Mitigation and Control Processes

1. Engage consultants for design
2. Resource share with other councils
3. Training in AutoDesk, AutoCad and CivilCad software
4. Purchase of design software upgrades and survey equipment

### Proposed new or enhanced Mitigation and Control Processes

1. Create additional Design or Cadet Engineer position
2. Engage multi skilled staff that are able to produce designs

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Design Engineer cost \$100k including on costs
- Cadet Engineer cost \$50k

**Estimated Completion Date:** 2019/20 budget

**Improvement Owner:** Assistant General Manager Engineering Services

### Plan Approval

**Submitted for Approval by:** Assistant General Manager Engineering Services

**General Manager Approval:**



**Risk Description:** 30. POOR CUSTOMER SERVICE

**Risk Owner:** Assistant General Manager Corporate Services

Consequence Rating: Moderate  
Likelihood Rating: Almost Certain  
Inherent Risk Rating: High  
Control Assessment: Effective  
Residual Risk Rating: Low

**Existing Mitigation and Control Processes**

1. Customer Action Requests – MERIT system
2. Customer Service Charter
3. Community satisfaction surveys
4. Staff training
5. Stakeholder Engagement strategy

**Proposed new or enhanced Mitigation and Control Processes**

1. Reinforce customer service standards to staff in particular correspondence and telephone enquiries
2. Train all staff in MERIT or similar system

**Infrastructure Requirements and Estimated Cost to Implement Proposed Changes**

- Training program to be developed and implemented annually. Expenditure allocation currently exists in salaries budget.

**Estimated Completion Date:** Ongoing  
**Improvement Owner:** Assistant General Manager Corporate Services

**Plan Approval**

**Submitted for Approval by:** Assistant General Manager Corporate Services  
**General Manager Approval:**



**Risk Description:** 31. INADEQUATE ICT INFRASTRUCTURE AND DISASTER RECOVERY

**Risk Owner:** Assistant General Manager Corporate Services

Consequence Rating: Minor  
Likelihood Rating: Possible  
Inherent Risk Rating: Medium  
Control Assessment: Qualified  
Residual Risk Rating: Low

### Existing Mitigation and Control Processes

1. Budget provides for replacement equipment as required
2. An ICT strategy has been developed
3. Software being updated for Infocouncil, Content Manager, Microsoft
4. Budget provisions for software and hardware

### Proposed new or enhanced Mitigation and Control Processes

1. A needs analysis should be completed that takes into account the various ICT requirements of each Department.
2. An analysis of the current ICT software and infrastructure should be completed

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- For the next ten (10) years, on average \$20k has been allocated annually for the upgrade of computers, software and networking infrastructure.
- Recurrent expenditure allocation is already provided for server upgrades at around \$20k per annum.
- An ICT Replacement Reserve needs to be established with \$40,000 per annum set aside.

**Estimated Completion Date:** Annually

**Improvement Owner:** Assistant General Manager Corporate Services

### Plan Approval

**Submitted for Approval by:** Assistant General Manager Corporate Services  
**General Manager Approval:**



**Risk Description:** 32. FAILURE TO ALLOW FOR IMPACTS OF CLIMATE CHANGE ON COUNCIL INFRASTRUCTURE

**Risk Owner:** Assistant General Manager Engineering Services / Manager Development and Environment

Consequence Rating: Significant  
Likelihood Rating: Likely  
Inherent Risk Rating: High  
Control Assessment: Qualified  
Residual Risk Rating: Medium

### Existing Mitigation and Control Processes

1. Climate Change Policy in place
2. LEP and DCP to control future development
3. Flood management plan adopted
4. Long term asset management plans
5. Nambucca Rivers and Creeks Estuary and Coastline Management Committee in place
6. Emergency Management Plan in place
7. Climate Change action plan in place

### Proposed new or enhanced Mitigation and Control Processes

1. Implement Climate Change action plan
2. Provide annual funding in budget to implement actions in Plan
3. Monitor climate change annually
4. Training of staff on climate change impacts and environmental sustainability

### Infrastructure Requirements and Estimated Cost to Implement Proposed Changes

- Staff monitoring and training time budgeted for. Annual funding included in budgets for infrastructure upgrades and replacement as identified in asset management plans.

**Estimated Completion Date:** Ongoing  
**Improvement Owner:** Assistant General Manager Engineering Services / Manager Development and Environment

### Plan Approval

**Submitted for Approval by:** Assistant General Manager Engineering Services / Manager Development and Environment

**General Manager Approval:**