

Council Six Monthly Strategic Risk Register Report 30 June 2016

STRATEGIC RISK REGISTER SUMMARY

No	Risk Description	Summary Risk Treatment plan	Likelihood	Consequence	Risk Rating
1	Failure of systems (infrastructure, I.T. and services) impacting critical services	<ul style="list-style-type: none"> IT Disaster Recovery Plan Test planned for late 2016 Superior Firewall solution implemented across Council 2015 Integration with the Crisis Management Plan PC & Technology Refresh Project Server upgrade 2016 	Unlikely	Moderate	Medium
2	Non-compliance with statutory and regulatory requirements	<ul style="list-style-type: none"> Policies and procedures, delegations, internal audit, external monitoring, risk management framework & incident reporting Subscription to software accredited by Maddocks CEO compliance statement standing item Audit Committee Electronic records management system TRIM refresh 	Possible	Moderate	Medium
3	Inadequate financial planning and management significantly impacting the delivery of critical services	<ul style="list-style-type: none"> Adoption of 2016/17 Budget by Council June 2016 Long Term Financial Strategy and regular review Detailed processes, policies, procedures in place Qualified staff with extensive experience at MCC Monthly reporting to EMT and Council, external (VAGO) and internal audit programs and Audit Committee oversight 	Rare	Major	Medium
4	Failure to adequately protect the health and safety of employees, contractors, volunteers or members of the public as a result of Council services	<ul style="list-style-type: none"> Completion of major OHS Management System review & implementation Regular Risk Register review and reporting to Risk Management Committee, Audit Committee and Council OHS Incident and Injury Hazard Reporting and analysis Internal Audit measuring conformance with AS4801 (April 2016) Development of OHS Management audit program as part of OHS Strategy 2017 	Likely	Major	High
5	Change in government policy &/or funding resulting in significant impact on the delivery of critical services	<ul style="list-style-type: none"> Lobbying & advocacy for improved outcomes for LG sector Rate Capping future readiness plan, monitoring & reporting process Long term financial modelling and Commonwealth Gov & MAV Communication to Council & Councillors at key transaction stages 	Unlikely	Major	Medium
6	Inadequate contract	<ul style="list-style-type: none"> Annual Internal Audit Program and Audit Committee oversight Stringent Tender process, including independent representation and comprehensive specifications for contracts Implementation of Inspections and audits – Engineering Operations, Parks & Works Contractor Management training to be delivered by Maddocks for second half of 2016 in collaboration with partnering council Project and contract management solution 	Possible	Major	High

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7	Inadequate stakeholder management or engagement impacting brand reputation	<ul style="list-style-type: none"> Dedicated engagement resourcing Consultation framework including policy, training, consultative culture, systems, monitor & review and statutory advertising Communications Plans for key policies 	Possible	Minor	Medium
8	Fraud or corruption incident	<ul style="list-style-type: none"> Staff Code of Conduct awareness sessions delivered to Service Unit teams Councillor Code of Conduct reviewed and adopted June 2016 (as per changes to the Local Government Act Sect 76C) Fraud and Corruption Policy, Control Plan and Risk Assessments External Audit (VAGO) audit for 2015-2016 Internal Audit program by independent contractor and reported to Audit Committee 	Unlikely	Moderate	Medium
9	Adverse environmental impacts from climate change on assets impacting service delivery	<ul style="list-style-type: none"> Completion of flood mapping review for five catchments, flood management plan and drainage management strategy Manningham Planning Scheme Amendment C109 Improving Flood Capital investment and asset inspection programs Municipal Emergency Management Plan (externally audited) 	Likely	Minor	Medium
10	Inappropriate access, use or significant loss of data/corporate records	<ul style="list-style-type: none"> Firewall upgrade 2015 Trim and Records Management project 2016-17 Privacy Act compliance review 2015 Staff Privacy Act awareness sessions PC & Technology refresh & server upgrade 	Unlikely	Major	Medium
11	Inappropriate procurement practices	<ul style="list-style-type: none"> Procurement Practices Review implementation program 2016-17 Update of software systems to support additional reporting Code of Conduct and Procurement training and awareness Annual Internal Audit Plan and Audit Committee oversight Annual Policy review and adoption by Council 	Possible	Moderate	Medium
12	A significant internal or external disruptive event or asset failure	<ul style="list-style-type: none"> Business Continuity Management (BCM) Framework and six monthly reporting schedule to Audit Committee Crisis Management Plan annual external testing exercise and action plan in accordance with Business Continuity Institute Guidelines Formation of BCM Working Group to implement actions Independent analysis and review of Crisis Management Plan 	Unlikely	Catastrophic	High