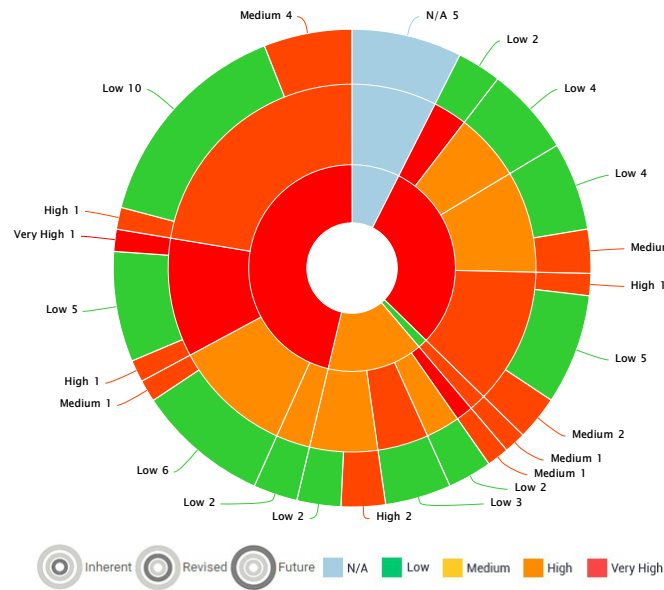
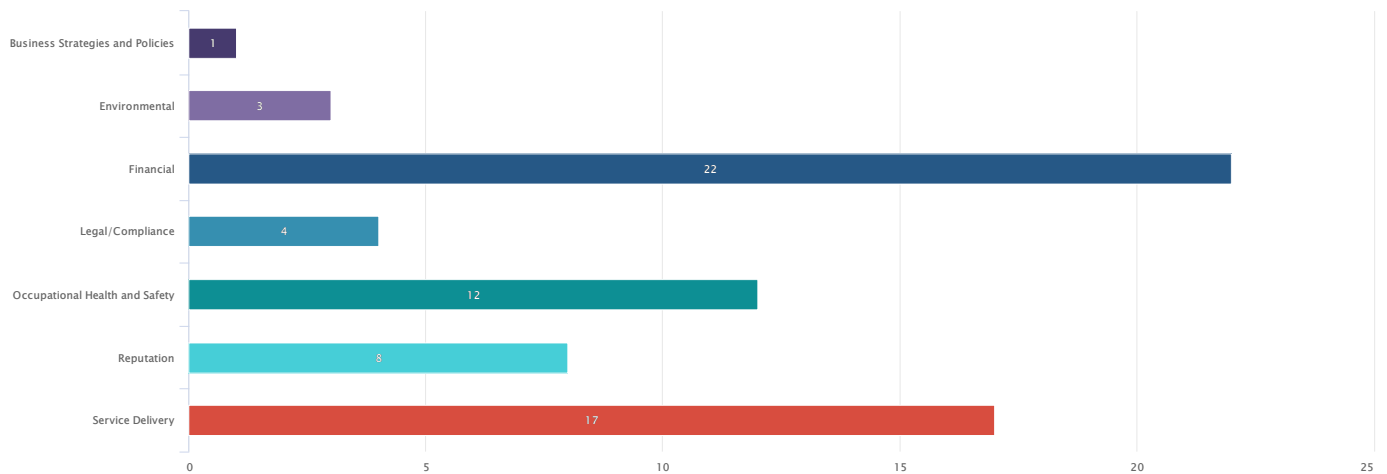


Risk Ratings By Phase









Risk Ratings By Category



Top Risks

Code	Risk	Owner	Category	First Identified	Last Reviewed	Rating
PR - 1	Higher wages for workers during holiday season	Jack Watts-Officer	Financial	13/07/2018	02/04/2019	Very High
PR - 47	Adverse operational conditions impacting project timelines	Jenny Smith-Manager	Financial	28/03/2019	20/04/2020	Very High
PR - 57	Limited resources are available for construction work	Allison Davies-Officer	Financial	28/03/2019	21/04/2020	Very High
PR - 60	Higher wages for workers during holiday season	John Doe-Director	Service Delivery	28/03/2019	02/04/2019	Very High

OR - 22	Loss of resource	Renaë Ibrahim-Manager	Reputation	15/04/2020	20/04/2020	 Very High
PR - 73	Higher wages for workers during holiday season	John Wayne-Project Manager	Service Delivery	10/12/2019		 Very High
PR - 4	Grant funding conditions cannot be met	Jack Watts-Officer	Financial	03/07/2018	20/04/2020	 Very High
PR - 48	Higher wages for workers during holiday season	Amy Stevens-Manager	Service Delivery	28/03/2019	20/04/2020	 Very High
PR - 74	Limited resources are available for construction work	Joe Smith-Manager, Planning and Amenity	Service Delivery	10/12/2019	10/12/2019	 Very High
SR - 2	Polluted Water Delivery	Joe Smith-Manager, Planning and Amenity	Service Delivery	07/07/2018	07/12/2020	 Very High

Risk Treatment Summary

OR - 1: Loss of accreditation

Total # of Risk Treatment Plans:	2
# of Risk Treatment Plans Overdue:	1
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	1

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Implement compliance monitoring system	Joe Smith - Manager, Planning and Amenity	In Progress	10%	01/12/2018	20/12/2018	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Engage with external consultants	Jenny Doe - Manager	Completed	100%	01/11/2018	30/11/2018	

SR - 2: Polluted Water Delivery

Total # of Risk Treatment Plans:	4
# of Risk Treatment Plans Overdue:	3
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	1

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Improving 3 waters asset management practices	Joe Smith - Manager, Planning and Amenity	In Progress	10%	01/07/2018	30/06/2019	
Improving 3 waters operations	Jack Watts - Officer	In Progress	75%	01/07/2018	30/06/2019	
Submission to the Water Enquiry	Jason Gardner - Officer	In Progress	45%	01/07/2018	31/05/2019	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Completed On Time						
Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Planning for additional resources	Joe Smith - Manager, Planning and Amenity	Completed	100%	01/07/2018	30/06/2019	

PR - 3: Additional capital expenditure may be required in addition to that approved

Total # of Risk Treatment Plans:	3
# of Risk Treatment Plans Overdue:	2
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	1

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Research best practice structures	Allison Davies - Officer	In Progress	10%	09/04/2019	31/05/2019	
Review fraud detection procedures	David Murray - Manager	In Progress	50%	03/09/2018	30/10/2018	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Business improvement plan developed and reviewed annually for each Department.	Joe Smith - Manager	Completed	100%	01/07/2014	12/11/2014	

OR - 2: Deterioration of investments

Total # of Risk Treatment Plans:	2
# of Risk Treatment Plans Overdue:	2
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	0

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Management development programs implemented for further individuals, as opportunities arise.	Mary Jane - Manager	In Progress	55%	06/08/2013	12/12/2013	
Succession planning to be planned and implemented in a number of key positions.	Jason Gardner - Officer	In Progress	65%	01/07/2014	14/11/2014	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

SR - 6: Increased number and/or severity of major/natural disaster events

Total # of Risk Treatment Plans:	2
# of Risk Treatment Plans Overdue:	2
# of Risk Treatment Plans Due:	0

of Risk Treatment Plans **Completed On Time:** 0

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Evaluate Council's insurance cover	Carlene James - Officer	In Progress	25%	01/07/2018	31/03/2019	
Review and test Business Continuity Plans and procedures	Carlene James - Officer	In Progress	75%	01/10/2018	28/02/2019	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

SR - 3: Unauthorized access of data stored in our internal systems

Total # of Risk Treatment Plans: 3

of Risk Treatment Plans **Overdue:** 2

of Risk Treatment Plans **Due:** 1

of Risk Treatment Plans **Completed On Time:** 0

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Develop and Implement policies to address the risk of people bringing personal devices to work.	Joe Smith - Manager, Planning and Amenity	In Progress	27%	09/01/2019	31/07/2020	
Implement and enforce a policy prohibiting employees from keeping working papers, passwords or any sensitive documents in view while they are away from their desks	Monica Harris - Officer	In Progress	5%	02/04/2019	17/07/2020	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Encryption to be installed on all company laptops, mobile devices and removable media	Lynda Cull - Officer	In Progress	29%	13/02/2019	31/01/2023	

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

WHS - 6: Falls caused by Atlantis- Maintained property

Total # of Risk Treatment Plans: 1

of Risk Treatment Plans **Overdue:** 0

of Risk Treatment Plans **Due:** 0

of Risk Treatment Plans **Completed On Time:** 1

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Update maintenance team procedure manual	Joe Smith - Manager, Planning and Amenity	In Progress	10%	06/11/2018		

WHS - 2: Collapse/Failure of structure & equipment

Total # of Risk Treatment Plans:	3
# of Risk Treatment Plans Overdue:	2
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	1

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Evaluate Council's insurance cover	Carlene James - Officer	In Progress	25%	01/07/2018	31/03/2019	
Research best practice structures	Allison Davies - Officer	In Progress	10%	09/04/2019	31/05/2019	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Update maintenance team procedure manual	Joe Smith - Manager	In Progress	10%	06/11/2018		

OR - 12: Loss of staff competency level (building)

Total # of Risk Treatment Plans:	1
# of Risk Treatment Plans Overdue:	1
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	0

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Pay market rates for building staff	Renae Ibrahim - Manager	Not Started	0%	01/02/2018	31/01/2019	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

OR - 8: Illegal or offensive activity at venue

Total # of Risk Treatment Plans:	1
# of Risk Treatment Plans Overdue:	1
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	0

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Create a tiered service desk system	Jack Watts - Officer	In Progress	45%	12/12/2018	27/12/2018	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

OR - 10: Financial loss through a malicious act

Total # of Risk Treatment Plans:	2
# of Risk Treatment Plans Overdue:	2
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	0

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Implement fraud and corruption prevention training	Amy Stevens - Manager	In Progress	10%	01/10/2018	30/11/2018	
Review fraud detection procedures	David Murray - Manager	In Progress	50%	03/09/2018	30/10/2018	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

OR - 5: Inability to borrow funds when needed at affordable interest rates

Total # of Risk Treatment Plans:	2
# of Risk Treatment Plans Overdue:	2
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	0

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Jennifer Rance - Officer	Not Started	0%	09/02/2019	02/04/2019	
We recommend that with the implementation of the 'security system' system that the Council implement the use of individual user accounts for each Officer and eliminating the use of shared accounts.	Joe Smith - Manager, Planning and Amenity		0%	20/06/2019	19/07/2019	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

SR - 5: Failure to comply with legislative and regulatory requirements

Total # of Risk Treatment Plans:	4
# of Risk Treatment Plans Overdue:	3
# of Risk Treatment Plans Due:	0

of Risk Treatment Plans **Completed On Time:** 1

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Assign responsibility for compilation and maintenance of the register	Joe Smith - Manager, Planning and Amenity	In Progress	50%	06/05/2015	30/07/2015	
Carry out weekly raining for elected members in current and proposed	David Murray - Manager	Deferred	5%	17/06/2015	25/09/2015	
Organise training staff in current and proposed legislative requirements	Joe Smith - Manager, Planning and Amenity	In Progress	30%	05/05/2015	23/08/2015	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Compilation of governance checklist to record legislative obligations and	Renae Ibrahim - Manager	Completed	100%	09/06/2015	17/07/2015	

PR - 1: Higher wages for workers during holiday season

Total # of Risk Treatment Plans: 7

of Risk Treatment Plans **Overdue:** 5

of Risk Treatment Plans **Due:** 0

of Risk Treatment Plans **Completed On Time:** 2

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Assign responsibility for compilation and maintenance of the register	Joe Smith - Manager, Planning and Amenity	In Progress	50%	06/05/2015	30/07/2015	
Community Satisfaction Survey coordinated by the Planning and Community Development department on behalf of councils.	Joe Smith - Manager, Planning and Amenity	Not Started	0%	02/07/2014	17/10/2014	
Develop and Implement policies to address the risk of people bringing personal devices to work.	Joe Smith - Manager, Planning and Amenity	In Progress	27%	09/01/2019	31/07/2020	
Pay market rates for building staff	Renae Ibrahim - Manager	Not Started	0%	01/02/2018	31/01/2019	
Research best practice structures	Allison Davies - Officer	In Progress	10%	09/04/2019	31/05/2019	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Business improvement plan developed and reviewed annually for each Department.	Joe Smith - Manager, Planning and Amenity	Completed	100%	01/07/2014	12/11/2014	
Planning for additional resources	Joe Smith - Manager	Completed	100%	01/07/2018	30/06/2019	

WHS - 1: Fall from heights

Total # of Risk Treatment Plans: 6

of Risk Treatment Plans **Overdue:** 3

of Risk Treatment Plans **Due:** 0

of Risk Treatment Plans **Completed On Time:** 3

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Assign responsibility for compilation and maintenance of the register	Joe Smith - Manager, Planning and Amenity	In Progress	50%	06/05/2015	30/07/2015	
Creation of a lesson learned register for all staff	Jenny Doe - Manager	In Progress	29%	07/03/2019	13/12/2019	
Submission to the Water Enquiry	Jason Gardner - Officer	In Progress	45%	01/07/2018	31/05/2019	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Engage with external consultants	Jenny Doe - Manager	Completed	100%	01/11/2018	30/11/2018	
Planning for additional resources	Joe Smith - Manager, Planning and Amenity	Completed	100%	01/07/2018	30/06/2019	
Update maintenance team procedure manual	Joe Smith - Manager	In Progress	10%	06/11/2018		

OR - 3: Budget misappropriation

Total # of Risk Treatment Plans:	3
# of Risk Treatment Plans Overdue:	2
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	1

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Create a tiered service desk system	Jack Watts - Officer	In Progress	45%	12/12/2018	27/12/2018	
Research best practice structures	Allison Davies - Officer	In Progress	10%	09/04/2019	31/05/2019	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Engage with external consultants	Jenny Doe - Manager	Completed	100%	01/11/2018	30/11/2018	

SR - 1: Centrally imposed major organisational structural changes

Total # of Risk Treatment Plans:	3
# of Risk Treatment Plans Overdue:	2
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	1

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Formulate draft organisational structure for review	Joe Smith - Manager, Planning and Amenity	In Progress	68%	01/05/2019	31/05/2019	
Research best practice structures	Allison Davies - Officer	In Progress	10%	09/04/2019	31/05/2019	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Completed On Time						

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Engage with external consultants	Jenny Doe - Manager	Completed	100%	01/11/2018	30/11/2018	

PR - 45: Adverse operational conditions impacting project timelines

Total # of Risk Treatment Plans:	3
# of Risk Treatment Plans Overdue:	2
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	1

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Creation of a lesson learned register for all staff	Jenny Doe - Manager	In Progress	29%	07/03/2019	10/01/2020	
Review and test Business Continuity Plans and procedures	Carlene James - Officer	In Progress	75%	01/10/2018	28/02/2019	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Planning for additional resources	Joe Smith - Manager	Completed	100%	01/07/2018	30/06/2019	

SR - 4: Lack of suitably skilled staff available to deliver services efficiently resulting in ineffective working practices

Total # of Risk Treatment Plans:	2
# of Risk Treatment Plans Overdue:	1
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	1

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Community Satisfaction Survey coordinated by the Planning and Community Development department on behalf of councils.	Joe Smith - Manager, Planning and Amenity	Not Started	0%	02/07/2014	17/10/2014	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Business improvement plan developed and reviewed annually for each Department.	Joe Smith - Manager, Planning and Amenity	Completed	100%	01/07/2014	12/11/2014	

SR - 7: Loss or theft of critical information

Total # of Risk Treatment Plans:	3
# of Risk Treatment Plans Overdue:	2
# of Risk Treatment Plans Due:	0
# of Risk Treatment Plans Completed On Time:	1

Overdue

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Develop and Implement policies to address the risk of people bringing personal devices to work.	Jenny Smith - Manager	In Progress	61%	03/01/2020	23/04/2020	
Encryption to be installed on all company laptops, mobile devices and removable media	Jenny Doe - Manager	In Progress	71%	03/01/2020	12/03/2020	

Due

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
----------------	-------	--------	------------	-------	-----	----------

Completed On Time

Treatment Plan	Owner	Status	% Complete	Start	End	Controls
Train employees on the various techniques used by fraudsters, such as "phishing" and "smishing" and to never open attachments or download anything from an unknown source.	Joe Smith - Manager, Planning and Amenity	Completed	100%	03/01/2020	15/04/2020	