## Camms.

# Operational Risk Detailed Report

						Initial	Current
wner	Causes	Impacts	Category	Likelihood	Consequence	Risk Rating	Risk Rating
e Smith- anager, Planning d Amenity	Poor governance; Poor governance	Damage to reputation.; Changes to level of service.; Damage to reputation.; Changes to level of	Legal/Compliance	Almost Certain	Moderate	$\bigcirc$	$\diamond$
als Controla		service.				High	High
sk Controls							
ontrol			Туре	Owr		Rat	-
ternal audit progra	m	Pi	reventive	Jack	Watts	Substantial	ly Effective
	Business Unit plans	Pi	reventive	Amy S		Substantial	ly Effective
egular Office/Worl	c Site Safety inspections	Pr	reventive	Joe S	mith	Substantial	ly Effective
nancial delegation	limits	Pr	reventive	Allison	Davies	Substantial	ly Effective
ustomer surveys, f	eedback, etc.	Pi	reventive	Allison	Davies	Substantial	ly Effective
gregation of dutie	s	Pi	reventive	Jack	Watts	Substantial	ly Effective
aff training		Pr	reventive	Karen	Miller	Substantial	ly Effective
aff training		Pı	reventive	Allison	Davies	Substantial	ly Effective
overnance policies	and procedures	Adm	ninistration	Jack	Watts	Substantial	ly Effective
obust policies and	procedures	Pr	reventive	Amy S	tevens	Substantial	ly Effective
lpha system		Pr	reventive	Amy S	tevens	Substantial	ly Effective
accession planning		Pr	reventive	Jack	Watts	Substantial	ly Effective
erformance manag	ement	Pr	reventive	Jack	Watts	Substantial	ly Effective
lpha family backuj	p services	Pr	reventive	Joe S	mith	Substantial	ly Effective
ports, including bu nd by Council each udget Managers po udget Managers po	al Report, including Budget Comparison, is a dget variances, are presented to and reviewe quarter. rform random reviews of transactions each r erform monthly budget variance analyses to c	d by EMT each month nonth for coding errors.	litigation	Allison	Davies	Substantial	ly Effective
funds.	with Atlantis predictions and factoring this in	to delivery M	litigation	Carlene	James	Substantial	ly Effective
	n Local Law enforcement.		reventive	Jason G		Substantial	
ternal controls in p			reventive				
obbying	hace		litigation	Jennifer Rance Wayne Horn		Substantially Effective Substantially Effective	
	afassional davalonment		reventive	·		Substantially Effective	
	ofessional development		reventive	Allison Davies		Substantially Effective	
olice checks on ne			reventive	David Murray Allison Davies		Substantially Effective	
ne Chart of Accou	ry trends and developments nts include an explanatory guide and exampl each natural account.		reventive	Allison		Substantial	
dustry specific pro		Pi	reventive	Allison	Davies	Substantial	ly Effective
udget for exhibitio			reventive	Allison		Substantial	
olicies and procedu	-		reventive	Allison		Substantial	
	arrest system in construction sites		reventive	Joe S		Substantial	
			reventive				
uarterly budget mo	arrest system in construction sites		reventive	Joe S Catherin		Substantial Substantial	
-	ent plan developed and reviewed annually fo	-	reventive	Joe S		Substantial	
lpha building syste			reventive	Allison		Substantial	
	nce with the policies and procedures		reventive	Allison		Substantial	
gregation of dutie			reventive	Jenny		Substantial	
ovide training for	Councillors		reventive	Allison		Substantial	•
aud training			reventive	Allison		Substantial	
aff training and co			reventive	Amy S		Substantial	
-	ning is provided to relevant staff.		reventive	Monica		Substantial	
ong Term Plan		Pr	reventive	Carlene	James	Substantial	y Effective
saster Recovery P	lan	Adn	ninistration	Karen	Miller	Substantial	ly Effective
gular education o	f procedures and regulations on health and sa	afety. Ada	ninistration	Lynda	a Cull	Partially	Effective
nance officers per here miscodings a	form random transaction coding reviews in k re prone to occur.	ey risk natural accounts, Adm	ninistration	Joe S	mith	Partially	Effective
ommunity respons	e planning	Pr	reventive	Jack	Watts	Partially	Effective
ternal audit		Adm	ninistration	Allison	Davies	Partially	Effective
usiness continuity	plans and procedures	Pr	reventive	Amy S	tevens	Partially	Effective
mployment of Mai	ntenance Team	Pr	reventive	Jennifer	Rance	Partially	Effective
1.2							

Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen Miller	Partially Effective
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator.	Preventive	Monica Harris	Partially Effective
Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by	Preventive	Joe Smith	Partially Effective
the relevant Line Manager.			
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review	Preventive	Jack Watts	Fully Effective
Ongoing implementation of restricted user access practices, limited to specific functions of a given role	Mitigation	Joe Smith	Fully Effective
Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens	

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OR - 10 : Financial loss through a malicious act								
Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating	
Amy Stevens- Manager	Poor recruitment policies; Poor recruitment policies; Collusion	Damage to reputation.; Damage to reputation.	Financial	Likely	Catastrophic	Very High	(À) High	
Risk Controls								
Control		Т	уре	Own	ner	Rat	ing	
Internal audit program		Pres	ventive	Jack Watts		Substantially Effective		

Visitor Experience Business Unit plans	Preventive	Amy Stevens	Substantially Effective
Regular Office/Work Site Safety inspections	Preventive	Joe Smith	Substantially Effective
Financial delegation limits	Preventive	Allison Davies	Substantially Effective
Customer surveys, feedback, etc.	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jack Watts	Substantially Effective
Staff training	Preventive	Karen Miller	Substantially Effective
Staff training	Preventive	Allison Davies	Substantially Effective
Governance policies and procedures	Administration	Jack Watts	Substantially Effective
Robust policies and procedures	Preventive	Amy Stevens	Substantially Effective
Alpha system	Preventive	Amy Stevens	Substantially Effective
Succession planning	Preventive	Jack Watts	Substantially Effective
Performance management	Preventive	Jack Watts	Substantially Effective
Alpha family backup services	Preventive	Joe Smith	Substantially Effective
The Annual Financial Report, including Budget Comparison, is audited. Financial reports, including budget variances, are presented to and reviewed by EMT each month and by Council each quarter. Budget Managers perform random reviews of transactions each month for coding errors. Budget Managers perform monthly budget variance analyses to detect misappropriation of funds.	Mitigation	Allison Davies	Substantially Effective
Keeping up-to-date with Atlantis predictions and factoring this into delivery	Mitigation	Carlene James	Substantially Effective
Monthly reporting on Local Law enforcement.	Preventive	Jason Gardner	Substantially Effective
Internal controls in place	Preventive	Jennifer Rance	Substantially Effective
Lobbying	Mitigation	Wayne Horn	Substantially Effective
Staff training and professional development	Preventive	Allison Davies	Substantially Effective
Police checks on new employees	Preventive	David Murray	Substantially Effective
Awareness of industry trends and developments	Preventive	Allison Davies	Substantially Effective
The Chart of Accounts include an explanatory guide and examples transactions that should be coded to each natural account.	Preventive	Allison Davies	Substantially Effective
Industry specific professional staff	Preventive	Allison Davies	Substantially Effective
Budget for exhibition development.	Preventive	Allison Davies	Substantially Effective
Policies and procedures are in place	Preventive	Allison Davies	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Quarterly budget monitoring	Preventive	Catherine Allan	Substantially Effective
Business improvement plan developed and reviewed annually for each Department.	Preventive	Joe Smith	Substantially Effective
Alpha building system	Preventive	Allison Davies	Substantially Effective
Monitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jenny Doe	Substantially Effective
Provide training for Councillors	Preventive	Allison Davies	Substantially Effective
Fraud training	Preventive	Allison Davies	Substantially Effective
Staff training and competencies	Preventive	Amy Stevens	Substantially Effective
Account coding training is provided to relevant staff.	Preventive	Monica Harris	Substantially Effective
Long Term Plan	Preventive	Carlene James	Substantially Effective
Disaster Recovery Plan	Administration	Karen Miller	Substantially Effective
Regular education of procedures and regulations on health and safety.	Administration	Lynda Cull	Partially Effective
Finance officers perform random transaction coding reviews in key risk natural accounts, where miscodings are prone to occur.	Administration	Joe Smith	Partially Effective
Community response planning	Preventive	Jack Watts	Partially Effective
Internal audit	Administration	Allison Davies	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen Miller	Partially Effective
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator.	Preventive	Monica Harris	Partially Effective
Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
	Preventive	Faye Stanley	Partially Effective
Police checks on new employees			

Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by the relevant Line Manager.	Preventive	Joe Smith	Partially Effective
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review	Preventive	Jack Watts	Fully Effective
Ongoing implementation of restricted user access practices, limited to specific functions of a given role	Mitigation	Joe Smith	Fully Effective
Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens	

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OR - 12 :	Loss of staff	competency	level	(building)
OK - 12 .	LUSS OF Starr	competency	level	(building)

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating	
Monica Harris- Officer			Legal/Compliance	Possible	Catastrophic	(À) High	Medium	
Risk Controls								
Control		Ту	Туре Ом		Owner Ratir		ing	
Internal audit progra	ım	Prev	entive	Jack V	Watts	Substantially Effective		
Visitor Experience I	Business Unit plans	Prev	Preventive Amy		Substantially		ly Effective	
Regular Office/Wor	k Site Safety inspections	Prev	Preventive Joe Sr		mith	Substantially Effective		
Financial delegation	limits	Prev	entive	Allison Davies		Substantially Effective		
Customer surveys, f	feedback, etc.	Prev	entive	Allison Davies		Substantially Effective		
Segregation of dutie	25	Prev	Preventive		Watts	Substantial	ly Effective	
Staff training		Prev	Preventive		Miller	Substantial	ly Effective	
Staff training		Prev	Preventive Allie		Davies	Substantial	ly Effective	
Governance policies	s and procedures	Admin	Administration		Jack Watts		ly Effective	
Robust policies and	procedures	Prev	Preventive		Amy Stevens		ly Effective	
Alpha system		Prev	entive	Amy S	tevens	Substantial	ly Effective	
Succession planning	5	Prev	entive	tive Jack Watts		Substantially Effective		
Performance manag	gement	Prev	entive	e Jack Watts		Substantially Effective		
Alpha family backu	p services	Prev	entive	Joe S	Joe Smith		Substantially Effective	

The Annual Financial Report, including Budget Comparison, is audited. Financial	Mitigation	Allison Davies	Substantially Effective
reports, including budget variances, are presented to and reviewed by EMT each month and by Council each quarter.			
Budget Managers perform random reviews of transactions each month for coding errors. Budget Managers perform monthly budget variance analyses to detect misappropriation of funds.			
Keeping up-to-date with Atlantis predictions and factoring this into delivery	Mitigation	Carlene James	Substantially Effective
Monthly reporting on Local Law enforcement.	Preventive	Jason Gardner	Substantially Effective
Internal controls in place	Preventive	Jennifer Rance	Substantially Effective
Lobbying	Mitigation	Wayne Horn	Substantially Effective
Staff training and professional development	Preventive	Allison Davies	Substantially Effective
Police checks on new employees	Preventive	David Murray	Substantially Effective
Awareness of industry trends and developments	Preventive	Allison Davies	Substantially Effective
The Chart of Accounts include an explanatory guide and examples transactions that should be coded to each natural account.	Preventive	Allison Davies	Substantially Effective
Industry specific professional staff	Preventive	Allison Davies	Substantially Effective
Budget for exhibition development.	Preventive	Allison Davies	Substantially Effective
Policies and procedures are in place	Preventive	Allison Davies	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Quarterly budget monitoring	Preventive	Catherine Allan	Substantially Effective
	Preventive	Joe Smith	Substantially Effective
Business improvement plan developed and reviewed annually for each Department.			•
Alpha building system	Preventive	Allison Davies	Substantially Effective
Monitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jenny Doe	Substantially Effective
Provide training for Councillors	Preventive	Allison Davies	Substantially Effective
Fraud training	Preventive	Allison Davies	Substantially Effective
Staff training and competencies	Preventive	Amy Stevens	Substantially Effective
Account coding training is provided to relevant staff.	Preventive	Monica Harris	Substantially Effective
Long Term Plan	Preventive	Carlene James	Substantially Effective
Disaster Recovery Plan	Administration	Karen Miller	Substantially Effective
Regular education of procedures and regulations on health and safety.	Administration	Lynda Cull	Partially Effective
Finance officers perform random transaction coding reviews in key risk natural accounts,	Administration	Joe Smith	Partially Effective
where miscodings are prone to occur.			
Community response planning	Preventive	Jack Watts	Partially Effective
Internal audit	Administration	Allison Davies	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier		Karen Miller	Partially Effective
Accounts rayable officers there hauthan account codes non-purchase offers to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen ivinier	r ar uany Elective
General journal requests are reviewed and posted by the Financial Accountant,	Preventive	Monica Harris	Partially Effective
Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed			
and approved by the Financial Accountant.			
Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting			
Services Coordinator.	- ·		
Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural	Preventive	Joe Smith	Partially Effective
account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by the relevant Line Manager.			
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
	-		
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective

Financial delegation	on limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation	on limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower po	licy	Preventive	Jack Watts	Mostly Effective
Clear succession p	lanning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys		Preventive	Brad Smith	Mostly Effective
Identify and classi	fy sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses		Mitigation	Karen Miller	Mostly Effective
Staff training on h	ow to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control	contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of dut	ies	Preventive	Jack Watts	Largely Ineffective
Provision of suitab	le work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual developm	ent review	Preventive	Jack Watts	Fully Effective
Ongoing impleme of a given role	ntation of restricted user access practices, limited to specific functions	Mitigation	Joe Smith	Fully Effective
Identify consultant	is to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market c	ondition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and lia interest rate risk m	bility management policies which cover credit, liquidity/maturity and anagement.	Preventive	Amy Stevens	Fully Effective
DSS		Administration	Paul Hilton	Fully Effective
Have additional p	ower backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on	point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review o	f strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and lia interest rate risk m	bility management policies which cover credit, liquidity/maturity and anagement	Preventive	Amy Stevens	

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#### OR - 13 : Legal claims for contested building consents

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Allison Davies- Officer			Financial	Almost Certain	Catastrophic	Very High	(À) High
<b>Risk Controls</b>							

Risk Controls			
Control	Туре	Owner	Rating
Internal audit program	Preventive	Jack Watts	Substantially Effective
Visitor Experience Business Unit plans	Preventive	Amy Stevens	Substantially Effective
Regular Office/Work Site Safety inspections	Preventive	Joe Smith	Substantially Effective
Financial delegation limits	Preventive	Allison Davies	Substantially Effective
Customer surveys, feedback, etc.	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jack Watts	Substantially Effective
Staff training	Preventive	Karen Miller	Substantially Effective
Staff training	Preventive	Allison Davies	Substantially Effective
Governance policies and procedures	Administration	Jack Watts	Substantially Effective
Robust policies and procedures	Preventive	Amy Stevens	Substantially Effective
Alpha system	Preventive	Amy Stevens	Substantially Effective
Succession planning	Preventive	Jack Watts	Substantially Effective
Performance management	Preventive	Jack Watts	Substantially Effective
Alpha family backup services	Preventive	Joe Smith	Substantially Effective
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Keeping up-to-date with Atlantis predictions and factoring this into delivery	Mitigation	Carlene James	Substantially Effective
Monthly reporting on Local Law enforcement.	Preventive	Jason Gardner	Substantially Effective
Internal controls in place	Preventive	Jennifer Rance	Substantially Effective
Lobbying	Mitigation	Wayne Horn	Substantially Effective
Staff training and professional development	Preventive	Allison Davies	Substantially Effective
Police checks on new employees	Preventive	David Murray	Substantially Effective
Awareness of industry trends and developments	Preventive	Allison Davies	Substantially Effective
The Chart of Accounts include an explanatory guide and examples transactions that should be coded to each natural account.	Preventive	Allison Davies	Substantially Effective
Industry specific professional staff	Preventive	Allison Davies	Substantially Effective
Budget for exhibition development.	Preventive	Allison Davies	Substantially Effective
Policies and procedures are in place	Preventive	Allison Davies	Substantially Effective

Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Quarterly budget monitoring	Preventive	Catherine Allan	Substantially Effective
Business improvement plan developed and reviewed annually for each Department. Alpha building system	Preventive Preventive	Joe Smith Allison Davies	Substantially Effective Substantially Effective
Monitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jenny Doe	Substantially Effective
Provide training for Councillors	Preventive	Allison Davies	Substantially Effective
Fraud training	Preventive	Allison Davies	Substantially Effective
Staff training and competencies	Preventive	Amy Stevens	Substantially Effective
Account coding training is provided to relevant staff.	Preventive	Monica Harris	Substantially Effective
Long Term Plan	Preventive	Carlene James	Substantially Effective
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Internal audit	Administration	Allison Davies	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation Administration	Joe Smith	Partially Effective
Restrict access to your sensitive data. Insurance cover.	Preventive	John Wayne Carlene James	Partially Effective Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier	Administration	Karen Miller	Partially Effective
Invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.			T at taking Effective
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting	Preventive	Monica Harris	Partially Effective
Services Coordinator. Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by	Preventive	Joe Smith	Partially Effective
the relevant Line Manager. Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review Ongoing implementation of restricted user access practices, limited to specific functions	Preventive Mitigation	Jack Watts Joe Smith	Fully Effective Fully Effective
of a given role Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective

Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective			
DSS	Administration	Paul Hilton	Fully Effective			
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective			
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective			
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective			
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens				
Risk Actions						
9e654fbe-8564-4171-9bde-c8e30a06c52b						

OR - 15 : Oper	rational Risk							
Owner	Causes	Impacts		Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Joe Smith- Manager, Planning and Amenity				Environmental	Possible	Major	() High	() High
Risk Controls								
Control			Ty	rpe	Ow	ner	Rat	ting
Internal audit program	m			entive	Jack	Watts	Substantial	ly Effective
Visitor Experience B	usiness Unit plans		Prev	entive	Amy S	Stevens	Substantial	ly Effective
Regular Office/Work	Site Safety inspections		Prev	entive	Joe S	Smith	Substantial	ly Effective
Financial delegation	limits		Prev	entive	Allison	Davies	Substantial	ly Effective
Customer surveys, fe	eedback, etc.		Prev	entive	Allison	Davies	Substantial	ly Effective
Segregation of duties	5		Prev	entive	Jack	Watts	Substantial	ly Effective
Staff training			Prev	entive	Karen	Miller	Substantial	ly Effective
Staff training			Prev	entive	Allison	Davies	Substantial	ly Effective
Governance policies	and procedures		Admin	istration	Jack	Watts	Substantial	ly Effective
Robust policies and j	procedures		Prev	entive	Amy S	Stevens	Substantial	ly Effective
Alpha system			Prev	entive	Amy S	Stevens	Substantial	ly Effective
Succession planning			Prev	entive	Jack	Watts	Substantial	ly Effective
Performance manage	ement		Prev	entive	Jack	Watts	Substantial	ly Effective
Alpha family backup	o services		Prev	entive	Joe S	Smith	Substantial	ly Effective
reports, including bu and by Council each Budget Managers pe	al Report, including Budget Comparison, is au dget variances, are presented to and reviewed quarter. rform random reviews of transactions each m rform monthly budget variance analyses to de	by EMT each month onth for coding errors.	Miti	gation	Allison	Davies	Substantial	ly Effective
	with Atlantis predictions and factoring this into	delivery	Miti	gation	Carlene	e James	Substantial	ly Effective
	n Local Law enforcement.	5		entive	Jason C		Substantial	
Internal controls in p	lace		Prev	entive	Jennife	r Rance	Substantial	ly Effective
Lobbying			Miti	gation	Wayne	e Horn	Substantial	ly Effective
Staff training and pro	ofessional development		Prev	entive	Allison	Davies	Substantial	ly Effective
Police checks on new	v employees		Prev	entive	David	Murray	Substantial	ly Effective
Awareness of industr	ry trends and developments		Prev	entive	Allison	Davies	Substantial	ly Effective
The Chart of Account should be coded to e	nts include an explanatory guide and examples ach natural account.	s transactions that	Prev	entive	Allison	Davies	Substantial	ly Effective
Industry specific pro	fessional staff		Prev	entive	Allison	Davies	Substantial	ly Effective
Budget for exhibition	n development.		Prev	entive	Allison	Davies	Substantial	ly Effective
Policies and procedu	ires are in place		Preventive		Allison Davies		Substantial	ly Effective
Equipment of a Fall	arrest system in construction sites		Preventive		Joe Smith		Substantial	ly Effective
Equipment of a Fall	arrest system in construction sites		Preventive		Joe Smith		Substantially Effective	
Quarterly budget mo	nitoring		Prev	entive	Catherin	ne Allan	Substantial	ly Effective
Business improveme	ent plan developed and reviewed annually for	each Department.	Prev	entive	Joe S	Smith	Substantial	ly Effective
Alpha building syste	m		Prev	entive	Allison	Davies	Substantial	ly Effective
Monitoring complian	nce with the policies and procedures		Prev	entive	Allison	Davies	Substantial	ly Effective
Segregation of duties	5		Prev	entive	Jenny	Doe	Substantial	ly Effective
Provide training for 0	Councillors		Prev	entive	Allison	Davies	Substantial	ly Effective
Fraud training			Prev	entive	Allison	Davies	Substantial	ly Effective
Staff training and con	-			entive	Amy S		Substantial	
-	ning is provided to relevant staff.			entive		n Harris	Substantial	
Long Term Plan				entive		e James	Substantial	
Disaster Recovery P				istration	Karen		Substantial	
-	f procedures and regulations on health and saf			istration	Lynda			Effective
Finance officers perf where miscodings ar	orm random transaction coding reviews in ke	y risk natural accounts,	Admin	istration	Joe S	Smith	Partially	Effective
Community response	e planning		Prev	entive	Jack	Watts	Partially	Effective

Internal audit	Administration	Allison Davies	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen Miller	Partially Effective
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator.	Preventive	Monica Harris	Partially Effective
Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by the relevant Line Manager.	Preventive	Joe Smith	Partially Effective
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review	Preventive	Jack Watts	Fully Effective
Ongoing implementation of restricted user access practices, limited to specific functions of a given role	Mitigation	Joe Smith	Fully Effective
Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review of strategies and policies.			Extles Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Mitigation Preventive	Amy Stevens Amy Stevens	Fully Effective

**Risk Actions** 

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#### OR - 18 : Loss of Key Personnel Initial Risk Rating Current Risk Rating Owner Likelihood Causes Impacts Category Consequence Jack Watts-Officer Poor company culture; Lack of career development; Poor management practices Difficulty on day-to-day management; Unable to initiate new projects; Increased strain on retaining personnel Service Delivery Likely Major \* High Low

Risk Controls			
Control	Туре	Owner	Rating
Internal audit program	Preventive	Jack Watts	Substantially Effe
/isitor Experience Business Unit plans	Preventive	Amy Stevens	Substantially Effe
Regular Office/Work Site Safety inspections	Preventive	Joe Smith	Substantially Effe
inancial delegation limits	Preventive	Allison Davies	Substantially Effe
ustomer surveys, feedback, etc.	Preventive	Allison Davies	Substantially Effe
egregation of duties	Preventive	Jack Watts	Substantially Effe
taff training	Preventive	Karen Miller	Substantially Effe
taff training	Preventive	Allison Davies	Substantially Effe
overnance policies and procedures	Administration	Jack Watts	Substantially Effe
obust policies and procedures	Preventive	Amy Stevens	Substantially Effe
lpha system	Preventive	Amy Stevens	Substantially Effe
uccession planning	Preventive	Jack Watts	Substantially Effe
erformance management	Preventive	Jack Watts	Substantially Effe
lpha family backup services	Preventive	Joe Smith	Substantially Effe
he Annual Financial Report, including Budget Comparison, is audited. Financial eports, including budget variances, are presented to and reviewed by EMT each month nd by Council each quarter.	Mitigation	Allison Davies	Substantially Effe
udget Managers perform random reviews of transactions each month for coding errors. udget Managers perform monthly budget variance analyses to detect misappropriation f funds.			
Leeping up-to-date with Atlantis predictions and factoring this into delivery	Mitigation	Carlene James	Substantially Effe
Anothly reporting on Local Law enforcement.	Preventive	Jason Gardner	Substantially Effe
nternal controls in place	Preventive	Jennifer Rance	Substantially Eff
obbying	Mitigation	Wayne Horn	Substantially Eff
staff training and professional development	Preventive	Allison Davies	Substantially Eff
olice checks on new employees	Preventive	David Murray	Substantially Eff
wareness of industry trends and developments	Preventive	Allison Davies	Substantially Eff
he Chart of Accounts include an explanatory guide and examples transactions that rould be coded to each natural account.	Preventive	Allison Davies	Substantially Eff
ndustry specific professional staff	Preventive	Allison Davies	Substantially Eff
Budget for exhibition development.	Preventive	Allison Davies	Substantially Eff
olicies and procedures are in place	Preventive	Allison Davies	Substantially Eff
quipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Eff
quipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Eff
Juarterly budget monitoring	Preventive	Catherine Allan	Substantially Eff
usiness improvement plan developed and reviewed annually for each Department.	Preventive	Joe Smith	Substantially Eff
lpha building system	Preventive	Allison Davies	Substantially Eff
Aonitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Eff
egregation of duties	Preventive	Jenny Doe	Substantially Eff
rovide training for Councillors	Preventive	Allison Davies	Substantially Eff
raud training	Preventive	Allison Davies	Substantially Eff
taff training and competencies	Preventive	Amy Stevens	Substantially Eff
account coding training is provided to relevant staff.	Preventive	Monica Harris	Substantially Eff
long Term Plan	Preventive	Carlene James	Substantially Eff
Disaster Recovery Plan	Administration	Karen Miller	Substantially Eff
tegular education of procedures and regulations on health and safety.	Administration	Lynda Cull	Partially Effect
inance officers perform random transaction coding reviews in key risk natural accounts,	Administration	Joe Smith	Partially Effect
here miscodings are prone to occur.	Preventive	Jack Watts	Partially Effect
community response planning			
nternal audit	Administration	Allison Davies Amy Stevens	Partially Effect Partially Effect
Business continuity plans and procedures	Preventive	Amy Stevens Jennifer Rance	•
Employment of Maintenance Team	Preventive		Partially Effec
imployment of Maintenance Team	Preventive	Jennifer Rance	Partially Effec
ubmission on proposed legislative changes	Administration	Catherine Allan	Partially Effec
eeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effec
uccession plans in place for all key roles	Mitigation	Joe Smith	Partially Effec
estrict access to your sensitive data.	Administration	John Wayne	Partially Effec
nsurance cover.	Preventive	Carlene James	Partially Effec
ccounts Payable officers check natural account codes from purchase orders to supplier avoices during invoice matching and raise any coding issues with the Purchasing & AP oordinator or Accountants.	Administration	Karen Miller	Partially Effec
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting services Coordinator.	Preventive	Monica Harris	Partially Effect

Health and Safety TrainingMitigationAny StevensNone or Totally IneffectCompliation of governance checklist to record legislative obligations and compliance with those obligationsAdministrationRenau EnrahimNone or Totally IneffectFinancial delegation limitsPreventiveJack WattsNone or Totally IneffectFinancial delegation limitsPreventiveJack WattsNone or Totally IneffectWhistle-blower policyPreventiveJack WattsMonty EffectiveClear succession planningMitigationJenny SmithMostly EffectiveEmployce surveysPreventiveBrad SmithMostly EffectiveIdentify and classify sensitive dataMitigationKaren MillerMostly EffectiveRetention bonusesMitigationKaren MillerMostly EffectiveStaff training on how to recognise and respond to illegal activityPreventiveAllison DaviesLargely IneffectiveHaving a Control contract/ Consultant access to the corporate networkMitigationJenny SmithHully EffectiveGargergation of dutiesPreventiveJack WattsLargely IneffectiveProvision of suitable work equipment to prevent a full occurring, e.g. edge protectionPreventiveJack WattsFully EffectiveOngoing implementation of restricted user access practices, limited to specific functionsMitigationJack WattsFully EffectiveOngoing implementation of restricted user access practices, limited to specific functionsMitigationJack WattsFully EffectiveOngoing implementation of restricted				
Polec alcoks on new employeesPercentiveFage StudiyPertually EffectiveEnsore accounts of this and plans for applicable dates as much as possibleMidigationJack WansPercentiveInternal andat programMidigationJasen GardnerPercentiveLobbyingPrecentiveAllison DaviesPercentiveConstructionPrecentiveAllison DaviesPercentivePrecentiveAllison DaviesPercentiveAllison DaviesPrecentiveAllison DaviesPercentiveAllison DaviesPrecentive contracts to koal regulatory agrociesPrecentiveJack WansPercentiveLocal Government Excellence programPrecentiveJack WansPercentiveLocal Government Excellence programPrecentiveJack WansNone or Totally EffectivePapercent financial Delegado Officer servix and approve dator invoices, refinad response, pair dations are review and approved range accent contrant at terme accent control want accent control and advison and prever data appreventseJack WansNone or Totally EffectiveHadh and Safoty TrainingMidigationAny SavensaNone or Totally InfertedContradition of governance checkles to record legislative obligations and evel and apprevent accent contral at advison of and apprevent accent and and advison of advison and apprevent accent and and advison accent contral at factorNone or Totally EffectiveHadh and Safoty TrainingMidigationAny SavensaNone or Totally InfertedHadh and Safoty TrainingPreventiveJack WansNone or Totally Effective <td< td=""><td>Training programs in place</td><td>Preventive</td><td>Joe Smith</td><td>Partially Effective</td></td<>	Training programs in place	Preventive	Joe Smith	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possibleMitigationJack WithPartially EffectiveLinkeral adde poggamMitigationJaseo GarberPartially EffectiveLinkeral adde poggamMitigationJaseo GarberPartially EffectiveLobbyingPreventiveAllion DaviesPartially EffectiveEntergency management plans and pocednersPreventiveDavid MumyPartially EffectiveLocal Government Excellence programPreventiveDavid MumyPartially EffectiveApprover of finite Dablegied Officers review and approve dotor invoices, refind regencis, pervia management plans and evaluation mavises for correct natural tereventiveJoek WatsNone or Totally EffectiveLocal Government Excellence programPreventiveJack WatsNone or Totally InfectiveApproved Finite Dablegied Officers review and approved for appropriate account coding by the relevent Link ManagementMitigationApproved Stall StallerEmployment of hind party security vendos, to monitor systems 247PreventiveJack WatsNone or Totally InfectiveFinancial dedegation linkisPreventiveJack WatsNone or Totally InfectiveFinancial dedegation linkisPreventiveJack WatsNone or Totally InfectiveCompliation og womance ducklish to record legibility ebligations and compliancePreventiveJack WatsNone or Totally InfectiveFinancial dedegation linkisPreventiveJack WatsNone or Totally InfectiveFinancial dedegation linkisPreventiveJack WatsNone or T	Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Inernal addr programJason GardnerPartially EffectiveLaternal addr programAlson GardnerPartially EffectiveChobyingPreventiveAllison DaviesPartially EffectiveEmergency management plans and proceduresPreventiveAllison DaviesPartially EffectiveEmergency management plans and proceduresPreventiveAllison DaviesPartially EffectiveCocil Government Recellence programPreventiveAllison DaviesPartially EffectiveApproved Financial Delegated Officen review and approve dotor invoices for correct natural account coding.PreventiveJack WattsNone or Totally InfectiveCredit card Focenomic ProgramMingationArmy StevensNone or Totally InfectiveCredit card Focenomic ProgramPreventiveJack WattsNone or Totally InfectiveCredit card Focenomic ProgramPreventiveJack WattsNone or Totally InfectiveCredit card Focenomic ProgramPreventiveJack WattsNone or Totally InfectiveCredit card Foceno Lision For sectorsPreventiveJack WattsNone or Totally InfectiveCompliation of governance checklist to record legislative obligations and complianceAdministrationArms StevernsNone or Totally InfectiveFinancial degato InitiaPreventiveJack WattsNone or Totally InfectiveNone or Totally InfectiveFinancial degato InitiaPreventiveJack WattsNone or Totally InfectiveFinancial degato InitialsPreventiveJack WattsNone or Totally InfectiveFinancial degato	Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Inernal audit programJason GardnerPartially EffectiveLobyingPreventiveAllison DaviesPartially EffectiveProcession enclosesPreventiveAllison DaviesPartially EffectiveProcession encloses to be constructive set of a growthise repeation to voices refinal requests, party cals forms, purchase requisitions and erocitor invoices refinal requests, party cals forms, purchase requisitions and erocitor invoices refinal requests, party cals forms, purchase requisitions and erocitor invoices refinal requests, party cals forms, purchase requisitions and erocitor invoices refinal requests, party cals forms, purchase requisitions and erocitor invoices for correct natural science and the Manager.David MarryPartially EffectiveEnded and requests, party cals forms, purchase requisitions and comprista ecount oding by the relevant Lobal Manager.AdminiantationAmus SeventsNone or Tutally InfectionEnded and science to head approved for appropriate account oding by the relevant Lobal Manager.AdminiantationAmus SeventsNone or Tutally InfectionFinancial delegation linksOre control MiniatationReserversNone or Tutally InfectionFinancial delegation linksPreventiveJack WattsNone or Tutally InfectionChast account oding with the durity security vers.PreventiveJack WattsNone or Tutally InfectionFinancial delegation linksPreventiveJack WattsNone or Tutally InfectionFinancial delegation linksPreventiveJack WattsNone or Tutally InfectionFinancial delegation linksPreventiveJack WattsNone or Tutally Infect	Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
LobbyingProcentiveAllison DaviesPartially EffectiveEnergyn ramageneir plans and proceduesPreventiveAllison DaviesPartially EffectiveProcetive outreach to local regulatory agenciesPreventiveAllison DaviesPartially EffectiveCacil docentreal Excellence programPreventiveAllison DaviesPartially EffectiveApproved Financial Delegated Officers review and approve dotor invoices for outre natural account coding. Credit carl recenciliators are reviewed and approved for appropriate account coding by the relevant Line Managet.Davies ManagetAnswer Partially EffectiveComplication of gorerance checklist to record legislative obligations and coding invoices for outre natural account coding.Answer Partially EffectiveAdministrationAnswer Partially EffectiveHalth and Safety TrainingMiligationAnsy StevensNone or Totally IneffectComplication of gorerance checklist to record legislative obligations and compliance with hose obligationsAdministrationRenae IbnahinNone or Totally IneffectFinancial delegation linitisPreventiveJack WattsMone or Totally IneffectFinancial delegation linitisPreventiveJack WattsMone or Totally IneffectiveFinancial delegation linitisPreventiveJack WattsMone or Tot	Internal audit program	Mitigation	Jason Gardner	Partially Effective
Energency management plans and proceduresPercentiveAlison DaviesPartially EffectiveProceedive contracts to be call capatory agenciesPreventiveDavid MurrayPartially EffectiveLocal Government Escolarsce programPreventiveAlison DaviesPartially EffectiveApproved Financial Delgade Officers review and approve debtor invokes; refinal reparts, party and forms, party and creditor invokes; refinal reparts, party and proved to approve debtor invokes; refinal reparts, party and party security endor to monitor systems 247PreventiveJack WatsNone or Totally InfertedConstraint of duid party security endor to record legislative obligations and compliance with three obligationsPreventiveJack WatsNone or Totally InfertedConstraint of delegation limitsPreventiveJack WatsNone or Totally InfertedFinancial delegation limitsPreventiveJack WatsNone or Totally InfertedClear succession planningMiligationJenny SmithMostly EffectiveEndwiry and Lobady sensitive dataMiligationJenny SmithMostly EffectiveReterior booksMiligationJenny SmithMostly EffectiveSaff Taning on hov to recengine and respond to ligal activityPreventiveAlicon DaviesLargely InfertedReterior booksPreventiveJack WatsLargely InfertedSaff Taning on hov to recengine and respond to ligal activityPreventive	Internal audit program	Mitigation	Jason Gardner	Partially Effective
PresentiveDavid MurrayParially EffectiveLocal dovernment Excellence programPreventiveAllion DaviesParially EffectiveApproved finance projes and propose dotor invoices, frifund requests, petty cach forms, purchase requisitions and creditor invoices for correct natural account coding. Credit and reconciliations are reviewed and approved for appropriate account coding by the relevant Link Manager.Noae or Totally InfertedEngloyment of third party security vendor, to monitor systems 24/7PreventiveJack WattsNoae or Totally InfertedInneal delegation limitsMitigationArry StevensNoae or Totally InfertedConfliction og governance checklist to record legislative obligations and compliance vin those obligationsPreventiveJack WattsNoae or Totally InfertedFinnancial delegation limitsPreventiveJack WattsNoae or Totally InfertedVintace obligationsPreventiveJack WattsNoae or Totally InfertedVintace delegation limitsPreventiveJack WattsNoae or Totally InfertedVintacion do no voccognica and compliance vintacia delegation limitsPreventiveJack WattsNoae or Totally InfertedVintacion do no voccognica and respond to illegal activityPreventiveJack WattsMonagerClear succession planningMitigationJack CollinsMondy EffectiveRandon box recognica and respond to illegal activityPreventiveJack WattsLargely InfertedVintarios do novo recognica and respond to illegal activityPreventiveJack WattsLargely InfertedRandon	Lobbying	Preventive	Allison Davies	Partially Effective
Local Government Excellence programPreventiveAllison DaviesPartially EffectiveApproved Financial Delegated Officers review and approve debor invoices, refund requests, petr cancilations are reviewed and approved for appropriate account coding by the relevant Line Manager.PreventiveJack WattsNone or Totally InfectiveEmployment of foid party security vendor, to monitor systems 24/7PreventiveJack WattsNone or Totally InfecterCompliation of govername checklist to record legislative obligations and compliance with those obligationsAdministrationRemae IbenhimNone or Totally InfecterFinancial delegation limitsPreventiveJack WattsNone or Totally InfecterFinancial delegation limitsPreventiveJack WattsNone or Totally InfecterFinancial delegation limitsPreventiveJack WattsNone or Totally InfecterCardingtion of systems 247PreventiveJack WattsNone or Totally InfecterCompliation of govername checklist to record legislative obligations and compliance with those obligationsPreventiveJack WattsNone or Totally InfecterCardination of govername checklist to record legislative obligationsPreventiveJack WattsNone or Totally InfecterWhistle-blower policyPreventiveJack WattsNone or Totally InfecterWhistle-blower policyPreventiveHard SnithMostly EffectiveWhistle-blower policyPreventiveJack WattsLargely InfectiveSaff training on how to recorgine and respond to illegal activityPreventiveAllison DaviesLarge	Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Approved Financial Delgated Officers review and approve debra invoices, refund repeats, petty and forms, purchase requisitions and creditor invoices for correct matural constraints and creditor invoices for correct matural there elevant Line Manager.Joe SmithPartially Reflective constraints in the correct matural constraints into any stevensNone or Totally Ineffective constraints into constraints into into into constraints into into into into into constraints into into into into into into constraints into into into into into into into into	Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
respects count coding. Credit card reconciliations and creditor invoices for correct natural account coding by the relevant Line Manager.Name or Totally Ineffect MinigationName or Totally IneffectHeads and Sardy TrainingMinigationAmy StevensNone or Totally IneffectCompliation of governance checklist to record legislative obligations and compliance with those obligationsAdministrationRenae BrahimNone or Totally IneffectFinancial delegation limitsPreventiveJack WattsNone or Totally IneffectFinancial delegation limitsPreventiveJack WattsNone or Totally IneffectCorrel score of legislative obligationsPreventiveJack WattsNone or Totally IneffectFinancial delegation limitsPreventiveJack WattsMonty EffectiveClear succession planningMinigationJenny SmithMonty EffectiveEndorsy servitive dataMinigationJack CollinsMonty EffectiveIdentify and Lined Stress free dataMinigationKaren MillerMonty EffectiveRacting on how to recognite and respond to illegal activityPreventiveAllion DaviesLargely IneffectiveRaving a Control contactor / Consultant access to the corpont networkMinigationKaren MillerLargely IneffectivePreventiveJack WattsFully EffectiveJack WattsFully EffectiveOrosison of suitable work equipment to prevent a fall occurring, e.g. edge protectionPreventiveJack WattsFully EffectiveOrosison of suitable work equipment to prevent a fall occurring, e.g. edge protectio	Local Government Excellence program	Preventive	Allison Davies	Partially Effective
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Succession planning Preventive Jack Watts Substantially Effective	Robust policies and procedures		Preve	entive	Amy S	tevens	Substantial	y Effective	
	Alpha system		Preve	entive	Amy S	tevens	Substantially Effective		
Performance management Preventive Jack Watts Substantially Effective	Succession planning		Preve	Preventive		Jack Watts		Substantially Effective	
	Performance manage	ement	Preve	entive	Jack V	Watts	Substantially Effective		

Alpha family backup services	Preventive	Joe Smith	Substantially Effective
The Annual Financial Report, including Budget Comparison, is audited. Financial	Mitigation	Allison Davies	Substantially Effective
reports, including budget variances, are presented to and reviewed by EMT each month			
and by Council each quarter. Budget Managers perform random reviews of transactions each month for coding errors.			
Budget Managers perform monthly budget variance analyses to detect misappropriation of funds.			
Keeping up-to-date with Atlantis predictions and factoring this into delivery	Mitigation	Carlene James	Substantially Effective
	6		
Monthly reporting on Local Law enforcement.	Preventive	Jason Gardner	Substantially Effective
Internal controls in place	Preventive	Jennifer Rance	Substantially Effective
Lobbying	Mitigation	Wayne Horn	Substantially Effective
Staff training and professional development	Preventive	Allison Davies	Substantially Effective
Police checks on new employees	Preventive	David Murray	Substantially Effective
Awareness of industry trends and developments The Chart of Accounts include an explanatory guide and examples transactions that	Preventive	Allison Davies Allison Davies	Substantially Effective Substantially Effective
should be coded to each natural account.	Fieventive	Allison Davies	Substantiany Elective
Industry specific professional staff	Preventive	Allison Davies	Substantially Effective
Budget for exhibition development.	Preventive	Allison Davies	Substantially Effective
Policies and procedures are in place	Preventive	Allison Davies	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Quarterly budget monitoring	Preventive	Catherine Allan	Substantially Effective
Business improvement plan developed and reviewed annually for each Department.	Preventive	Joe Smith	Substantially Effective
Alpha building system	Preventive	Allison Davies	Substantially Effective
Monitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jenny Doe	Substantially Effective
Provide training for Councillors	Preventive	Allison Davies	Substantially Effective
Fraud training	Preventive	Allison Davies	Substantially Effective
Staff training and competencies	Preventive	Amy Stevens Monica Harris	Substantially Effective
Account coding training is provided to relevant staff. Long Term Plan	Preventive	Carlene James	Substantially Effective Substantially Effective
Disaster Recovery Plan	Administration	Karen Miller	Substantially Effective
Regular education of procedures and regulations on health and safety.	Administration	Lynda Cull	Partially Effective
Finance officers perform random transaction coding reviews in key risk natural accounts,	Administration	Joe Smith	Partially Effective
where miscodings are prone to occur.			
Community response planning	Preventive	Jack Watts	Partially Effective
Internal audit	Administration	Allison Davies	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data. Insurance cover.	Administration Preventive	John Wayne Carlene James	Partially Effective Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier	Administration	Karen Miller	Partially Effective
invoices during invoice matching and raise any coding issues with the Purchasing & AP	Administration	Katen Willer	T at taily Effective
Coordinator or Accountants.			
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator.	Preventive	Monica Harris	Partially Effective
Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed			
and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting			
Services Coordinator.			
Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures Proactive outreach to local regulatory agencies	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies Local Government Excellence program	Preventive	David Murray Allison Davies	Partially Effective Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund	Preventive	Joe Smith	Partially Effective
requests, petty cash forms, purchase requisitions and creditor invoices for correct natural	i icventive	Joe Smul	i ai uany Elittuvt
account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by			
the relevant Line Manager.			
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective

Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review	Preventive	Jack Watts	Fully Effective
Ongoing implementation of restricted user access practices, limited to specific functions of a given role	Mitigation	Joe Smith	Fully Effective
Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens	

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#### OR - 20 : API Test 01

OR - 20 : API 1								
Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating	
Paul Hilton- Director			Financial			N/A <b>N/A</b>	N/A <b>N/A</b>	
Risk Controls								
Control		т	уре	Ow	her	Rati	na	
Internal audit program	m		ventive	Jack		Substantial	0	
Visitor Experience B		Pre	ventive	Amy S	tevens	Substantiall		
Regular Office/Work	Site Safety inspections	Pre	ventive	Joe S	mith	Substantial	y Effective	
Financial delegation	limits	Pre	ventive	Allison	Davies	Substantial	y Effective	
Customer surveys, fe	eedback, etc.	Pre	ventive	Allison	Davies	Substantiall	y Effective	
Segregation of duties	3	Pre	ventive	Jack	Watts	Substantial	y Effective	
Staff training		Pre	ventive	Karen	Miller	Substantial	y Effective	
Staff training		Pre	ventive	Allison	Davies	Substantiall	y Effective	
Governance policies	and procedures	Admi	nistration	Jack Watts		Substantially Effective		
Robust policies and p	procedures	Pre	Preventive		Amy Stevens		y Effective	
Alpha system		Pre	Preventive		Amy Stevens		y Effective	
Succession planning		Pre	Preventive		Jack Watts		y Effective	
Performance manage			Preventive		Jack Watts		y Effective	
Alpha family backup			Preventive		Joe Smith		y Effective	
The Annual Financial Report, including Budget Comparison, is audited. Financial reports, including budget variances, are presented to and reviewed by EMT each month and by Council each quarter. Budget Managers perform random reviews of transactions each month for coding errors. Budget Managers perform monthly budget variance analyses to detect misappropriation of funds.		by EMT each month onth for coding errors.	igation	Allison	Davies	Substantiall	y Effective	
Keeping up-to-date v	with Atlantis predictions and factoring this into	delivery Mi	tigation	Carlene	James	Substantial	y Effective	
Monthly reporting or	n Local Law enforcement.	Pre	Preventive		ardner	Substantially Effective		
Internal controls in p	lace	Pre	Preventive		Rance	Substantially Effective		
Lobbying		Mi	tigation	Wayne Horn		Substantially Effective		
Staff training and professional development		Pre	Preventive		Davies	Substantial	y Effective	
Police checks on new employees		Pre	ventive	David 1	Murray	Substantial	y Effective	
Awareness of industry trends and developments		Pre	Preventive		Davies	Substantially Effective		
	The Chart of Accounts include an explanatory guide and examples transactions that should be coded to each natural account.		Preventive		Davies	Substantially Effective		
Industry specific prot	fessional staff	Pre	Preventive		Davies	Substantially Effective		
Budget for exhibition	n development.	Pre	Preventive		Allison Davies		Substantially Effective	
Policies and procedu	res are in place	Pre	ventive	Allison	Davies	Substantiall	y Effective	

Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
of a given role Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing implementation of restricted user access practices, limited to specific functions	Mitigation	Joe Smith	Fully Effective
Annual development review	Preventive	Jack Watts	Fully Effective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Identify and classify sensitive data Retention bonuses	Mitigation Mitigation	Jack Collins Karen Miller	Mostly Effective Mostly Effective
Employee surveys	Preventive	Brad Smith Jack Collins	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
with those obligations	<b>D</b>		<b>N M M M</b>
Compilation of governance checklist to record legislative obligations and compliance	Administration	Renae Ibrahim	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Credit card reconciliations are reviewed and approved for appropriate account coding by the relevant Line Manager.			
requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding.			
Approved Financial Delegated Officers review and approve debtor invoices, refund	Preventive	Joe Smith	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jack watts Jason Gardner	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Resourcing the water team to improve performance Police checks on new employees	Preventive	Catherine Allan Faye Stanley	Partially Effective Partially Effective
Training programs in place	Preventive	Joe Smith	Partially Effective
and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator.			
Continuator of Accountants. General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed	Preventive	Monica Harris	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen Miller	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Succession plans in place for all key roles Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive Mitigation	Jack Watts Joe Smith	Partially Effective Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Internal audit	Administration	Allison Davies	Partially Effective
Community response planning	Preventive	Jack Watts	Partially Effective
Finance officers perform random transaction coding reviews in key risk natural accounts, where miscodings are prone to occur.	Administration	Joe Smith	Partially Effective
Regular education of procedures and regulations on health and safety.	Administration	Lynda Cull	Partially Effective
Disaster Recovery Plan	Administration	Karen Miller	Substantially Effective
Long Term Plan	Preventive	Carlene James	Substantially Effective
Account coding training is provided to relevant staff.	Preventive	Monica Harris	Substantially Effective
Staff training and competencies	Preventive	Amy Stevens	Substantially Effective
Fraud training	Preventive	Allison Davies	Substantially Effective
Provide training for Councillors	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jenny Doe	Substantially Effective
Monitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Effective
Alpha building system	Preventive	Allison Davies	Substantially Effective
Business improvement plan developed and reviewed annually for each Department.	Preventive	Joe Smith	Substantially Effective
Quarterly budget monitoring	Preventive	Catherine Allan	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective

Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens	

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### OR - 21 : API Test 02

Owner	Causes	ipacts	Category	Likelihood	Consequence	Initial	Current
Paul Hilton-			Financial		concoquence	Risk Rating	Risk Rating
Director			Fillancia			N/A	N/A
Risk Controls							
Control			Туре	Ow	ner	Rati	ing
Internal audit progr	ram	I	Preventive	Jack	Watts	Substantial	-
	Business Unit plans		Preventive	Amy S	Stevens	Substantial	
-	ork Site Safety inspections	I	Preventive	Joe S	Smith	Substantial	
Financial delegatio		I	Preventive		Davies	Substantial	
Customer surveys,		I	Preventive	Allison	Davies	Substantial	
Segregation of duti		I	Preventive	Jack	Watts	Substantial	y Effective
Staff training		I	Preventive	Karen	Miller	Substantial	y Effective
Staff training		I	Preventive	Allison	Davies	Substantial	
Governance policie	es and procedures	Ad	ministration	Jack	Watts	Substantial	
Robust policies and	-	I	Preventive	Amy S	Stevens	Substantial	y Effective
Alpha system		I	Preventive	Amy S	Stevens	Substantial	
Succession plannin	ng	I	Preventive	Jack		Substantial	
Performance mana		I	Preventive	Jack	Watts	Substantial	-
Alpha family back		I	Preventive	Joe S	Smith	Substantial	•
	cial Report, including Budget Comparison, is audit		Mitigation		Davies	Substantial	
and by Council eac Budget Managers p	budget variances, are presented to and reviewed by ch quarter. perform random reviews of transactions each month perform monthly budget variance analyses to detect	for coding errors.					
Keeping up-to-date	e with Atlantis predictions and factoring this into de	livery	Mitigation	Carlene	e James	Substantial	y Effective
Monthly reporting	on Local Law enforcement.	I	Preventive	Jason C	Gardner	Substantial	y Effective
Internal controls in	place	I	Preventive		Jennifer Rance		y Effective
Lobbying		1	vitigation	Wayne	e Horn	Substantial	y Effective
Staff training and p	professional development	I	Preventive	Allison Davies		Substantially Effective	
Police checks on n	ew employees	I	Preventive	David Murray		Substantially Effective	
Awareness of indus	stry trends and developments	I	reventive	Allison Davies		Substantially Effective	
	punts include an explanatory guide and examples tra o each natural account.	nsactions that I	Preventive	Allison Davies		Substantial	y Effective
Industry specific pr	rofessional staff	I	Preventive	Allison	Davies	Substantial	y Effective
Budget for exhibiti	ion development.	I	Preventive	Allison	Davies	Substantial	y Effective
Policies and procee	dures are in place	I	Preventive	Allison	Davies	Substantial	y Effective
Equipment of a Fal	ll arrest system in construction sites	I	reventive	Joe Smith		Substantially Effective	
Equipment of a Fal	ll arrest system in construction sites	I	Preventive	Joe S	Smith	Substantial	y Effective
Quarterly budget n	nonitoring	I	Preventive	Catherin	ne Allan	Substantial	y Effective
Business improven	nent plan developed and reviewed annually for each	n Department.	reventive	Joe S	Smith	Substantial	y Effective
Alpha building sys	stem	I	reventive	Allison	Davies	Substantial	y Effective
Monitoring compli	iance with the policies and procedures	I	reventive	Allison	Davies	Substantial	y Effective
Segregation of duti	ies	I	Preventive	Jenny	y Doe	Substantial	y Effective
Provide training for	or Councillors	I	Preventive	Allison	Davies	Substantial	y Effective
Fraud training		I	Preventive	Allison	Davies	Substantial	y Effective
Staff training and c	competencies	I	Preventive	Amy S	Stevens	Substantial	y Effective
Account coding tra	aining is provided to relevant staff.	I	Preventive	Monica	a Harris	Substantial	y Effective
Long Term Plan		I	Preventive	Carlene James		Substantially Effective	
Disaster Recovery Plan		Ad	ministration	Karen Miller		Substantially Effective	
Regular education	of procedures and regulations on health and safety.	Ad	ministration	Lynda Cull		Partially Effective	
Finance officers pe where miscodings	erform random transaction coding reviews in key ris are prone to occur.	k natural accounts, Ad	ministration	Joe S	Smith	Partially	Effective
<b>a</b> :	nse planning	T	Preventive	Jack	Watts	Partially	Effective

<ul> <li>Insurance cover.</li> <li>Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing &amp; AP Coordinator or Accountants.</li> <li>General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator.</li> <li>Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant.</li> <li>Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator.</li> <li>Training programs in place</li> <li>Resourcing the water team to improve performance</li> <li>Police checks on new employees</li> <li>Ensure scheduling accounts for this and plans for applicable dates as much as possible</li> <li>Internal audit program</li> <li>Internal audit program</li> <li>Lobbying</li> <li>Emergency management plans and procedures</li> <li>Proactive outreach to local regulatory agencies</li> <li>Local Government Excellence program</li> </ul>	Administration Preventive Mitigation Administration Preventive Administration Preventive Preventive Preventive Preventive Mitigation Mitigation Preventive	Catherine Allan Jack Watts Joe Smith John Wayne Carlene James Karen Miller Monica Harris Joe Smith Catherine Allan Faye Stanley Jack Watts Jason Gardner Jason Gardner Allison Davies Allison Davies David Murray Allison Davies Joe Smith	Partially Effective Partially Effective
Succession plans in place for all key roles Restrict access to your sensitive data. Insurance cover. Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants. General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator. Training programs in place Resourcing the water team to improve performance Police checks on new employees Ensure scheduling accounts for this and plans for applicable dates as much as possible Internal audit program Internal audit program Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Mitigation Administration Preventive Administration Preventive Preventive Preventive Preventive Mitigation Mitigation Mitigation Preventive	Joe Smith John Wayne Carlene James Karen Miller Monica Harris Joe Smith Catherine Allan Faye Stanley Jack Watts Jason Gardner Jason Gardner Allison Davies David Murray Allison Davies	Partially Effective Partially Effective
Restrict access to your sensitive data. Insurance cover. Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants. General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator. Training programs in place Resourcing the water team to improve performance Police checks on new employees Ensure scheduling accounts for this and plans for applicable dates as much as possible Internal audit program Internal audit program Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Administration Preventive Administration Preventive Preventive Preventive Preventive Mitigation Mitigation Mitigation Preventive Preventive Preventive Preventive Preventive Preventive Preventive	John Wayne Carlene James Karen Miller Monica Harris Joe Smith Catherine Allan Faye Stanley Jack Watts Jason Gardner Jason Gardner Allison Davies David Murray Allison Davies	Partially Effective Partially Effective
Insurance cover. Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants. General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator. Training programs in place Resourcing the water team to improve performance Police checks on new employees Ensure scheduling accounts for this and plans for applicable dates as much as possible Internal audit program Internal audit program Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Preventive Administration Preventive Preventive Preventive Preventive Mitigation Mitigation Mitigation Preventive Preventive Preventive Preventive Preventive Preventive Preventive	Carlene James Karen Miller Monica Harris Joe Smith Catherine Allan Faye Stanley Jack Watts Jason Gardner Jason Gardner Allison Davies David Murray Allison Davies	Partially Effective Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants. General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator. Training programs in place Resourcing the water team to improve performance Police checks on new employees Ensure scheduling accounts for this and plans for applicable dates as much as possible Internal audit program Internal audit program Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Administration Preventive Preventive Preventive Preventive Mitigation Mitigation Mitigation Preventive Preventive Preventive Preventive Preventive Preventive Preventive Preventive	Karen Miller Monica Harris Joe Smith Catherine Allan Faye Stanley Jack Watts Jason Gardner Jason Gardner Allison Davies David Murray Allison Davies	Partially Effective Partially Effective
invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants. General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator. Training programs in place Resourcing the water team to improve performance Police checks on new employees Ensure scheduling accounts for this and plans for applicable dates as much as possible Internal audit program Internal audit program Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Preventive Preventive Preventive Preventive Mitigation Mitigation Preventive Preventive Preventive Preventive Preventive Preventive	Monica Harris Joe Smith Catherine Allan Faye Stanley Jack Watts Jason Gardner Jason Gardner Allison Davies Allison Davies David Murray Allison Davies	Partially Effective Partially Effective
Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator. Training programs in place Resourcing the water team to improve performance Police checks on new employees Ensure scheduling accounts for this and plans for applicable dates as much as possible Internal audit program Internal audit program Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Preventive Preventive Mitigation Mitigation Mitigation Preventive Preventive Preventive Preventive	Joe Smith Catherine Allan Faye Stanley Jack Watts Jason Gardner Jason Gardner Allison Davies David Murray Allison Davies	Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective
Training programs in place Resourcing the water team to improve performance Police checks on new employees Ensure scheduling accounts for this and plans for applicable dates as much as possible Internal audit program Internal audit program Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Preventive Preventive Mitigation Mitigation Preventive Preventive Preventive Preventive Preventive	Catherine Allan Faye Stanley Jack Watts Jason Gardner Jason Gardner Allison Davies David Murray Allison Davies	Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective
Resourcing the water team to improve performance Police checks on new employees Ensure scheduling accounts for this and plans for applicable dates as much as possible Internal audit program Internal audit program Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Preventive Preventive Mitigation Mitigation Preventive Preventive Preventive Preventive Preventive	Catherine Allan Faye Stanley Jack Watts Jason Gardner Jason Gardner Allison Davies David Murray Allison Davies	Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective
Police checks on new employees Ensure scheduling accounts for this and plans for applicable dates as much as possible Internal audit program Internal audit program Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Preventive Mitigation Mitigation Mitigation Preventive Preventive Preventive Preventive	Faye Stanley Jack Watts Jason Gardner Jason Gardner Allison Davies David Murray Allison Davies	Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible Internal audit program Internal audit program Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Mitigation Mitigation Mitigation Preventive Preventive Preventive Preventive	Jack Watts Jason Gardner Jason Gardner Allison Davies David Murray Allison Davies	Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective
Internal audit program Internal audit program Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Mitigation Mitigation Preventive Preventive Preventive Preventive	Jason Gardner Jason Gardner Allison Davies David Murray Allison Davies	Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective
Internal audit program Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Mitigation Preventive Preventive Preventive Preventive	Jason Gardner Allison Davies Allison Davies David Murray Allison Davies	Partially Effective Partially Effective Partially Effective Partially Effective Partially Effective
Lobbying Emergency management plans and procedures Proactive outreach to local regulatory agencies Local Government Excellence program	Preventive Preventive Preventive Preventive	Allison Davies Allison Davies David Murray Allison Davies	Partially Effective Partially Effective Partially Effective Partially Effective
Proactive outreach to local regulatory agencies Local Government Excellence program	Preventive Preventive	David Murray Allison Davies	Partially Effective Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
	Preventive	Joe Smith	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by the returned time Mensenter.			
the relevant Line Manager. Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts N	one or Totally Ineffective
Health and Safety Training	Mitigation		one or Totally Ineffective
	Administration		one or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts N	one or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts N	one or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review	Preventive	Jack Watts	Fully Effective
Ongoing implementation of restricted user access practices, limited to specific functions of a given role	Mitigation	Joe Smith	Fully Effective
Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Mitigation Administration	Jennifer Rance John Doe	Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens	. uny Encedyt

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OR - 22 : Loss of resource								
Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating	
Renae Ibrahim- Manager			Reputation	Likely	Catastrophic	Very High	Very High	

Risk Controls			
Control	Turne	Owner	Rating
Internal audit program	Type Preventive	Jack Watts	Substantially Effective
Visitor Experience Business Unit plans	Preventive	Amy Stevens	Substantially Effective
Regular Office/Work Site Safety inspections	Preventive	Joe Smith	Substantially Effective
Financial delegation limits	Preventive	Allison Davies	Substantially Effective
Customer surveys, feedback, etc.	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jack Watts	Substantially Effective
Staff training	Preventive	Karen Miller	Substantially Effective
Staff training	Preventive	Allison Davies	Substantially Effective
Governance policies and procedures	Administration	Jack Watts	Substantially Effective
Robust policies and procedures	Preventive	Amy Stevens	Substantially Effective
Alpha system	Preventive	Amy Stevens	Substantially Effective
Succession planning	Preventive	Jack Watts	Substantially Effective
Performance management	Preventive	Jack Watts	Substantially Effective
Alpha family backup services	Preventive	Joe Smith	Substantially Effective
The Annual Financial Report, including Budget Comparison, is audited. Financial	Mitigation	Allison Davies	Substantially Effective
reports, including budget variances, are presented to and reviewed by EMT each month	0		·
and by Council each quarter. Budget Managers perform random reviews of transactions each month for coding errors. Budget Managers perform monthly budget variance analyses to detect misappropriation of funds.			
Keeping up-to-date with Atlantis predictions and factoring this into delivery	Mitigation	Carlene James	Substantially Effective
Monthly reporting on Local Law enforcement.	Preventive	Jason Gardner	Substantially Effective
Internal controls in place	Preventive	Jennifer Rance	Substantially Effective
Lobbying	Mitigation	Wayne Horn	Substantially Effective
Staff training and professional development	Preventive	Allison Davies	Substantially Effective
Police checks on new employees	Preventive	David Murray	Substantially Effective
Awareness of industry trends and developments	Preventive	Allison Davies	Substantially Effective
The Chart of Accounts include an explanatory guide and examples transactions that	Preventive	Allison Davies	Substantially Effective
should be coded to each natural account.	Tieventive	Allison Davies	Substantiany Encette
Industry specific professional staff	Preventive	Allison Davies	Substantially Effective
Budget for exhibition development.	Preventive	Allison Davies	Substantially Effective
Policies and procedures are in place	Preventive	Allison Davies	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Quarterly budget monitoring	Preventive	Catherine Allan	Substantially Effective
Business improvement plan developed and reviewed annually for each Department.	Preventive	Joe Smith	Substantially Effective
Alpha building system	Preventive	Allison Davies	Substantially Effective
Monitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jenny Doe	Substantially Effective
Provide training for Councillors	Preventive	Allison Davies	Substantially Effective
Fraud training	Preventive	Allison Davies	Substantially Effective
Staff training and competencies	Preventive	Amy Stevens	Substantially Effective
Account coding training is provided to relevant staff.	Preventive	Monica Harris	Substantially Effective
Long Term Plan	Preventive	Carlene James	Substantially Effective
Disaster Recovery Plan	Administration	Karen Miller	Substantially Effective
Regular education of procedures and regulations on health and safety.	Administration	Lynda Cull	Partially Effective
Finance officers perform random transaction coding reviews in key risk natural accounts, where miscodings are prone to occur.	Administration	Joe Smith	Partially Effective
Community response planning	Preventive	Jack Watts	Partially Effective
Internal audit	Administration	Allison Davies	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen Miller	Partially Effective
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator.	Preventive	Monica Harris	Partially Effective
Training programs in place	Preventive	Joe Smith	Partially Effective

Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund	Preventive	Joe Smith	Partially Effective
requests, petty cash forms, purchase requisitions and creditor invoices for correct natural	rieventive	Joe Smith	r al daily Effective
account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by			
the relevant Line Manager.			
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review	Preventive	Jack Watts	Fully Effective
Ongoing implementation of restricted user access practices, limited to specific functions of a given role	Mitigation	Joe Smith	Fully Effective
Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens	

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OR - 23 : API 1	Test 04							
Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating	
Paul Hilton- Director			Financial			N/A <b>N/A</b>	N/A <b>N/A</b>	
Risk Controls								
Control		Ту	Type Owner		ier	Rating		
Internal audit program	m	Preve	Preventive Jac		Watts	Substantially Effective		
Visitor Experience B	usiness Unit plans	Preve	entive	Amy Stevens		Substantially Effective		
Regular Office/Work	Site Safety inspections	Preve	entive	Joe Smith		Substantially Effectiv		
Financial delegation	limits	Preve	entive	Allison	Davies	Substantially Effective		
Customer surveys, fe	eedback, etc.	Preve	Preventive A		Davies	Substantial	y Effective	
Segregation of duties	5	Preve	Preventive		Jack Watts		Substantially Effective	
Staff training		Preve	entive	Karen Miller		Substantially Effective		
Staff training		Preve	entive	Allison Davies		Substantially Effective		
Governance policies	and procedures	Admin	istration	Jack Watts		Substantial	y Effective	
Robust policies and j	procedures	Preve	entive	Amy S	tevens	Substantial	y Effective	
Alpha system		Preve	entive	Amy S	tevens	Substantial	y Effective	
Succession planning		Preve	entive	Jack Watts		Substantially Effective		
Performance manage	ement	Preve	entive	Jack Watts		Substantially Effective		
Alpha family backup	o services	Preve	entive	Joe S	mith	Substantially Effective		

The Annual Financial Report, including Budget Comparison, is audited. Financial reports, including budget variances, are presented to and reviewed by EMT each month and by Council each quarter. Budget Managers perform random reviews of transactions each month for coding errors.	Mitigation	Allison Davies	Substantially Effective
Budget Managers perform monthly budget variance analyses to detect misappropriation of funds.			
Keeping up-to-date with Atlantis predictions and factoring this into delivery	Mitigation	Carlene James	Substantially Effective
Monthly reporting on Local Law enforcement.	Preventive	Jason Gardner	Substantially Effective
Internal controls in place	Preventive	Jennifer Rance	Substantially Effective
Lobbying	Mitigation	Wayne Horn	Substantially Effective
Staff training and professional development	Preventive	Allison Davies	Substantially Effective
Police checks on new employees	Preventive	David Murray	Substantially Effective
Awareness of industry trends and developments	Preventive	Allison Davies	Substantially Effective
The Chart of Accounts include an explanatory guide and examples transactions that should be coded to each natural account.	Preventive	Allison Davies	Substantially Effective
Industry specific professional staff	Preventive	Allison Davies	Substantially Effective
Budget for exhibition development.	Preventive	Allison Davies	Substantially Effective
Policies and procedures are in place	Preventive	Allison Davies	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Quarterly budget monitoring	Preventive	Catherine Allan	Substantially Effective
Business improvement plan developed and reviewed annually for each Department.	Preventive	Joe Smith	Substantially Effective
Alpha building system	Preventive	Allison Davies	Substantially Effective
Monitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jenny Doe	Substantially Effective
Provide training for Councillors	Preventive	Allison Davies	Substantially Effective
Fraud training	Preventive	Allison Davies	Substantially Effective
Staff training and competencies	Preventive	Amy Stevens	Substantially Effective
Account coding training is provided to relevant staff.	Preventive	Monica Harris	Substantially Effective
Long Term Plan	Preventive	Carlene James	Substantially Effective
Disaster Recovery Plan	Administration	Karen Miller	Substantially Effective
Regular education of procedures and regulations on health and safety.	Administration	Lynda Cull	Partially Effective
Finance officers perform random transaction coding reviews in key risk natural accounts, where miscodings are prone to occur.	Administration	Joe Smith	Partially Effective
Community response planning	Preventive	Jack Watts	Partially Effective
Internal audit	Administration	Allison Davies	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP	Administration	Karen Miller	Partially Effective
Coordinator or Accountants. General journal requests are reviewed and posted by the Financial Accountant,	Preventive	Monica Harris	Dantially Ffration
Management Accountant or Accounting Services Co-ordinator.	Preventive	Monica Hams	Partially Effective
Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant.			
Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting			
Services Coordinator.	_	_	
Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding.	Preventive	Joe Smith	Partially Effective
Credit card reconciliations are reviewed and approved for appropriate account coding by the relevant Line Manager.			
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance	Administration	Renae Ibrahim	None or Totally Ineffective
with those obligations			•

Financ	tial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financ	tial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistl	e-blower policy	Preventive	Jack Watts	Mostly Effective
Clear s	succession planning	Mitigation	Jenny Smith	Mostly Effective
Emplo	yee surveys	Preventive	Brad Smith	Mostly Effective
Identif	y and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retent	ion bonuses	Mitigation	Karen Miller	Mostly Effective
Staff ti	raining on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Havin	g a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segreg	gation of duties	Preventive	Jack Watts	Largely Ineffective
Provis	ion of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annua	al development review	Preventive	Jack Watts	Fully Effective
0	ng implementation of restricted user access practices, limited to specific functions ven role	Mitigation	Joe Smith	Fully Effective
Identif	y consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoi	ng market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
	ment and liability management policies which cover credit, liquidity/maturity and t rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS		Administration	Paul Hilton	Fully Effective
Have a	additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't j	just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoi	ng review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
	ment and liability management policies which cover credit, liquidity/maturity and t rate risk management	Preventive	Amy Stevens	

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#### OR - 24 : QA OP Test 01

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Paul Hilton- Director			Financial			N/A <b>N/A</b>	N/A <b>N/A</b>
Risk Controls							

Control	Туре	Owner	Rating
Internal audit program	Preventive	Jack Watts	Substantially Effective
Visitor Experience Business Unit plans	Preventive	Amy Stevens	Substantially Effective
Regular Office/Work Site Safety inspections	Preventive	Joe Smith	Substantially Effective
Financial delegation limits	Preventive	Allison Davies	Substantially Effective
Customer surveys, feedback, etc.	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jack Watts	Substantially Effective
Staff training	Preventive	Karen Miller	Substantially Effective
Staff training	Preventive	Allison Davies	Substantially Effective
Governance policies and procedures	Administration	Jack Watts	Substantially Effective
Robust policies and procedures	Preventive	Amy Stevens	Substantially Effective
Alpha system	Preventive	Amy Stevens	Substantially Effective
Succession planning	Preventive	Jack Watts	Substantially Effective
Performance management	Preventive	Jack Watts	Substantially Effective
Alpha family backup services	Preventive	Joe Smith	Substantially Effective
The Annual Financial Report, including Budget Comparison, is audited. Financial reports, including budget variances, are presented to and reviewed by EMT each month and by Council each quarter. Budget Managers perform random reviews of transactions each month for coding errors. Budget Managers perform monthly budget variance analyses to detect misappropriation of funds.	Mitigation	Allison Davies	Substantially Effective
Keeping up-to-date with Atlantis predictions and factoring this into delivery	Mitigation	Carlene James	Substantially Effective
Monthly reporting on Local Law enforcement.	Preventive	Jason Gardner	Substantially Effective
Internal controls in place	Preventive	Jennifer Rance	Substantially Effective
Lobbying	Mitigation	Wayne Horn	Substantially Effective
Staff training and professional development	Preventive	Allison Davies	Substantially Effective
Police checks on new employees	Preventive	David Murray	Substantially Effective
Awareness of industry trends and developments	Preventive	Allison Davies	Substantially Effective
The Chart of Accounts include an explanatory guide and examples transactions that should be coded to each natural account.	Preventive	Allison Davies	Substantially Effective
Industry specific professional staff	Preventive	Allison Davies	Substantially Effective
Budget for exhibition development.	Preventive	Allison Davies	Substantially Effective
Policies and procedures are in place	Preventive	Allison Davies	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective

Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Quarterly budget monitoring	Preventive	Catherine Allan	Substantially Effective
Business improvement plan developed and reviewed annually for each Department.	Preventive	Joe Smith	Substantially Effective
Alpha building system	Preventive	Allison Davies	Substantially Effective
Monitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jenny Doe	Substantially Effective
Provide training for Councillors	Preventive	Allison Davies	Substantially Effective
Fraud training	Preventive	Allison Davies	Substantially Effective
Staff training and competencies	Preventive	Amy Stevens	Substantially Effective
Account coding training is provided to relevant staff.	Preventive	Monica Harris	Substantially Effective
Long Term Plan	Preventive	Carlene James	Substantially Effective
Disaster Recovery Plan	Administration	Karen Miller	Substantially Effective
Regular education of procedures and regulations on health and safety.	Administration	Lynda Cull	Partially Effective
Finance officers perform random transaction coding reviews in key risk natural accounts, where miscodings are prone to occur.	Administration	Joe Smith	Partially Effective
Community response planning	Preventive	Jack Watts	Partially Effective
Internal audit	Administration	Allison Davies	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen Miller	Partially Effective
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator.	Preventive	Monica Harris	Partially Effective
Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by the relume time Mercere	Preventive	Joe Smith	Partially Effective
the relevant Line Manager. Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review Ongoing implementation of restricted user access practices, limited to specific functions	Preventive Mitigation	Jack Watts Joe Smith	Fully Effective Fully Effective
of a given role Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective

Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens	

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	OP Test 02						1-20-1	
Owner	Causes II	npacts		Category	Likelihood	Consequence	Initial Risk Rating	Curren Risk Ratii
Paul Hilton- Director	C	eath		Financial			N/A <b>N/A</b>	N/A <b>N/A</b>
Risk Controls								
Control			Туре		Ow	ner	Rati	ng
Internal audit progra	am		Preventi	ve		Watts	Substantiall	-
	Business Unit plans		Preventi			Stevens	Substantiall	
-	rk Site Safety inspections		Preventi			Smith	Substantiall	•
Financial delegation	n limits		Preventi	ve	Allison	Davies	Substantial	y Effective
Customer surveys, f	feedback, etc.		Preventi	ve	Allison	Davies	Substantiall	y Effective
Segregation of dutie	es		Preventi	ve	Jack	Watts	Substantial	y Effective
Staff training			Preventi	ve	Karen	Miller	Substantial	y Effective
Staff training			Preventi	ve	Allison	Davies	Substantiall	y Effective
Governance policie	es and procedures		Administra	ation	Jack	Watts	Substantiall	y Effective
Robust policies and	1 procedures		Preventi	ve	Amy S	Stevens	Substantial	y Effective
Alpha system			Preventi	ve	Amy S	Stevens	Substantial	y Effective
Succession planning	g		Preventi	ve	Jack	Watts	Substantial	y Effective
Performance manag	gement		Preventi	ve	Jack	Watts	Substantial	y Effective
Alpha family backu	ıp services		Preventi	ve	Joe S	Smith	Substantial	y Effective
	cial Report, including Budget Comparison, is audit udget variances, are presented to and reviewed by th quarter.		Mitigatio	on	Allison	Davies	Substantial	y Effective
udget Managers p	perform random reviews of transactions each mont perform monthly budget variance analyses to detec							
Keeping up-to-date	with Atlantis predictions and factoring this into d	elivery	Mitigatio	on	Carlen	e James	Substantial	y Effective
Monthly reporting of	on Local Law enforcement.		Preventi	ve	Jason (	Gardner	Substantial	y Effective
nternal controls in	place		Preventi	ve	Jennife	r Rance	Substantial	y Effective
obbying			Mitigatio	on	Wayne	e Horn	Substantial	y Effective
taff training and pr	rofessional development		Preventi	ve	Allison	Davies	Substantial	y Effective
olice checks on ne	ew employees		Preventi	ve	David	Murray	Substantial	y Effective
wareness of indus	stry trends and developments		Preventi	ve	Allison	Davies	Substantial	y Effective
	unts include an explanatory guide and examples tr each natural account.	ansactions that	Preventi	ve	Allison	Davies	Substantial	y Effective
ndustry specific pro	ofessional staff		Preventi	ve	Allison	Davies	Substantial	y Effective
Budget for exhibition	on development.		Preventi	ve	Allison	Davies	Substantial	y Effective
Policies and proced	lures are in place		Preventi	ve	Allison	Davies	Substantial	y Effective
Equipment of a Fall	l arrest system in construction sites		Preventi	ve	Joe S	Smith	Substantial	y Effective
quipment of a Fall	l arrest system in construction sites		Preventi	ve	Joe S	Smith	Substantial	y Effective
uarterly budget m	nonitoring		Preventi	ve	Catherin	ne Allan	Substantial	y Effective
Business improvem	nent plan developed and reviewed annually for each	h Department.	Preventi	ve	Joe S	Smith	Substantiall	y Effective
Alpha building syst	tem		Preventi	ve	Allison	Davies	Substantial	y Effective
Aonitoring complia	ance with the policies and procedures		Preventi	ve	Allison	Davies	Substantial	y Effective
Segregation of dutie	es		Preventi	ve	Jenny	y Doe	Substantial	y Effective
Provide training for	r Councillors		Preventi	ve	Allison	Davies	Substantial	y Effective
raud training			Preventi	ve	Allison	Davies	Substantiall	y Effective
staff training and co	ompetencies		Preventi	ve	Amy S	Stevens	Substantial	y Effective
	ining is provided to relevant staff.		Preventi	ve	Monica	a Harris	Substantiall	y Effective
long Term Plan			Preventi		Carlene	e James	Substantial	•
Disaster Recovery I	Plan		Administra	ation	Karen	Miller	Substantiall	y Effective
Regular education of	of procedures and regulations on health and safety		Administra	ation	Lynd	a Cull	Partially l	Effective
where miscodings a	*	sk natural accounts,	Administra			Smith	Partially I	
Community respons	se planning		Preventi			Watts	Partially 1	
Internal audit			Administra	ation	Allicon	Davies	Partially 1	Effortivo

During a section it is have and second one	Desconting	A	Dautially, Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team		Jennifer Rance Catherine Allan	Partially Effective
Submission on proposed legislative changes	Administration	Jack Watts	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive		Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive Administration	Carlene James Karen Miller	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen Miller	Partially Effective
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator.	Preventive	Monica Harris	Partially Effective
Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by	Preventive	Joe Smith	Partially Effective
the relevant Line Manager.			
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review	Preventive	Jack Watts	Fully Effective
Ongoing implementation of restricted user access practices, limited to specific functions of a given role	Mitigation	Joe Smith	Fully Effective
Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens	
Risk Actions			
	5b255a92-d1f0-4826-a631-f1e2de3b08bd		

5b255a92-dtf0-4826-a631-fte2de3b08bd							
OR - 3 : Budget misappropriation							
Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating

Renae Ibrahim- Manager	Incorrect natural account codes are applied to debtor invoices, receipt allocations, purchase requisitions and general journals through error, fraud or to mitigate budget variance enquiries.; Incorrect natural account codes are applied to debtor invoices, receipt allocations, purchase requisitions and general journals through error, fraud or	Damage to reputation.; Damage to reputation.	Financial	Likely	Catastrophic	Very High	(ð) High
	to mitigate budget variance enquiries.						
Risk Controls							
Control		Ту	/pe	Owr	ner	Rati	ng
Internal audit progra	ım	Prev	rentive	Jack	Watts	Substantiall	y Effective
Visitor Experience I	Business Unit plans	Prev	rentive	Amy S	tevens	Substantiall	y Effective
Regular Office/Wor	k Site Safety inspections	Prev	rentive	Joe S	mith	Substantiall	y Effective
Financial delegation	limits	Prev	rentive	Allison	Davies	Substantiall	y Effective
Customer surveys, f	edback, etc.	Prev	rentive	Allison	Davies	Substantiall	y Effective
Segregation of dutie	'S	Prev	rentive	Jack V	Watts	Substantiall	y Effective
Staff training			rentive	Karen		Substantiall	
Staff training			rentive	Allison		Substantiall	
Governance policies	-		nistration	Jack		Substantiall	
Robust policies and	procedures		rentive	Amy S		Substantiall	
Alpha system	T		rentive	Amy S Jack V		Substantiall Substantiall	
Succession planning Performance manag			rentive	Jack V		Substantial	
Alpha family backu			rentive	Jack J		Substantially	
	r ann an Anna a		gation	Allison		Substantiall	
and by Council each Budget Managers p	udget variances, are presented to and reviewed quarter. erform random reviews of transactions each mo erform monthly budget variance analyses to det	nth for coding errors.					
Keeping up-to-date	with Atlantis predictions and factoring this into	delivery Miti	gation	Carlene	James	Substantial	y Effective
Monthly reporting of	n Local Law enforcement.	Prev	rentive	Jason G	ardner	Substantial	y Effective
Internal controls in p	place	Prev	rentive	Jennifer	Rance	Substantiall	y Effective
Lobbying		Miti	gation	Wayne	Horn	Substantiall	y Effective
Staff training and pr	ofessional development	Prev	rentive	Allison	Davies	Substantiall	y Effective
Police checks on ne			entive	David M	•	Substantial	
	try trends and developments		rentive	Allison		Substantiall	
	ints include an explanatory guide and examples each natural account.	transactions that Prev	rentive	Allison	Davies	Substantiall	y Effective
Industry specific pro	ofessional staff	Prev	rentive	Allison	Davies	Substantially	y Effective
Budget for exhibitio	n development.	Prev	rentive	Allison	Davies	Substantial	y Effective
Policies and procede	ures are in place	Prev	rentive	Allison	Davies	Substantiall	y Effective
Equipment of a Fall	arrest system in construction sites	Prev	rentive	Joe S	mith	Substantial	y Effective
Equipment of a Fall	arrest system in construction sites	Prev	rentive	Joe S	mith	Substantial	y Effective
Quarterly budget me	onitoring	Prev	ventive	Catherin	e Allan	Substantial	y Effective
Business improvem	ent plan developed and reviewed annually for e	ach Department. Prev	rentive	Joe S	mith	Substantiall	y Effective
Alpha building syste	em	Prev	rentive	Allison	Davies	Substantiall	y Effective
Monitoring complia	nce with the policies and procedures	Prev	rentive	Allison	Davies	Substantiall	y Effective
Segregation of dutie	s	Prev	ventive	Jenny	Doe	Substantial	y Effective
Provide training for	Councillors		rentive	Allison		Substantiall	
Fraud training			entive	Allison		Substantiall	
Staff training and co			rentive	Amy S		Substantiall	·
	ning is provided to relevant staff.		rentive	Monica		Substantially	
Long Term Plan Disaster Recovery F	Dian		rentive histration	Carlene Karen		Substantiall Substantiall	
	f procedures and regulations on health and safe		nistration	Lynda		Partially I	
-	form random transaction coding reviews in key		istration	Joe S		Partially I	
Community response	e planning		rentive	Jack V		Partially I	
Internal audit			nistration	Allison		Partially I	
	plans and procedures		rentive	Amy S		Partially I	
Employment of Mai			rentive	Jennifer		Partially I	
Employment of Mai			ventive	Jennifer		Partially I	
	osed legislative changes with BoM predictions and factoring this into de		nistration	Catherin		Partially I Partially I	
	with BoM predictions and factoring this into de place for all key roles		entive gation	Jack V Joe S		Partially I Partially I	
Restrict access to yo			gation	Joe S John V		Partially I Partially I	
Insurance cover.			rentive	Carlene		Partially I	
		1100		Cartone			

Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen Miller	Partially Effective
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator.	Preventive	Monica Harris	Partially Effective
Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding.	Preventive	Joe Smith	Partially Effective
Credit card reconciliations are reviewed and approved for appropriate account coding by the relevant Line Manager.			
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review	Preventive	Jack Watts	Fully Effective
Ongoing implementation of restricted user access practices, limited to specific functions of a given role	Mitigation	Joe Smith	Fully Effective
Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens	

**Risk Actions** 

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#### OR - 4 : An unsafe working environment leading to accidents and possible injury to people and staff, leading to possible financial and other penalties. Initial Current Owner Likelihood Causes Impacts Category Consequence **Risk Rating Risk Rating** Jack Watts-Officer Unsafe conditions; Poor work habits; Unsafe conditions Occupational Health and Safety Electric shock Unlikely Moderate N/A Low 6 High **Risk Controls** Rating Control Туре Owner Internal audit program Preventive Jack Watts Substantially Effective Amy Stevens Visitor Experience Business Unit plans Substantially Effective Preventive Regular Office/Work Site Safety inspections Substantially Effective Joe Smith Preventive Financial delegation limits Allison Davies Substantially Effective Preventive Customer surveys, feedback, etc. Allison Davies Substantially Effective Preventive Segregation of duties Jack Watts Substantially Effective Preventive

Staff training	Preventive	Karen Miller	Substantially Effective
Staff training	Preventive	Allison Davies	Substantially Effective
Governance policies and procedures	Administration	Jack Watts	Substantially Effective
Robust policies and procedures	Preventive	Amy Stevens	Substantially Effective
Alpha system	Preventive	Amy Stevens	Substantially Effective
Succession planning	Preventive	Jack Watts	Substantially Effective
Performance management	Preventive	Jack Watts	Substantially Effective
Alpha family backup services	Preventive	Joe Smith	Substantially Effective
The Annual Financial Report, including Budget Comparison, is audited. Financial reports, including budget variances, are presented to and reviewed by EMT each month and by Council each quarter. Budget Managers perform random reviews of transactions each month for coding errors. Budget Managers perform monthly budget variance analyses to detect misappropriation of funds.	Mitigation	Allison Davies	Substantially Effective
Keeping up-to-date with Atlantis predictions and factoring this into delivery	Mitigation	Carlene James	Substantially Effective
Monthly reporting on Local Law enforcement.	Preventive	Jason Gardner	Substantially Effective
Internal controls in place	Preventive	Jennifer Rance	Substantially Effective
Lobbying	Mitigation	Wayne Horn	Substantially Effective
Staff training and professional development	Preventive	Allison Davies	Substantially Effective
Police checks on new employees	Preventive	David Murray	Substantially Effective
Awareness of industry trends and developments	Preventive	Allison Davies	Substantially Effective
The Chart of Accounts include an explanatory guide and examples transactions that should be coded to each natural account.	Preventive	Allison Davies	Substantially Effective
Industry specific professional staff	Preventive	Allison Davies	Substantially Effective
Budget for exhibition development.	Preventive	Allison Davies	Substantially Effective
Policies and procedures are in place	Preventive	Allison Davies	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Quarterly budget monitoring	Preventive	Catherine Allan	Substantially Effective
Business improvement plan developed and reviewed annually for each Department.	Preventive	Joe Smith	Substantially Effective
Alpha building system	Preventive	Allison Davies	Substantially Effective
Monitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jenny Doe	Substantially Effective
Provide training for Councillors	Preventive	Allison Davies	Substantially Effective
Fraud training	Preventive	Allison Davies	Substantially Effective
Staff training and competencies	Preventive	Amy Stevens	Substantially Effective
Account coding training is provided to relevant staff.	Preventive	Monica Harris	Substantially Effective
Long Term Plan	Preventive	Carlene James	Substantially Effective
Disaster Recovery Plan	Administration	Karen Miller	Substantially Effective
Regular education of procedures and regulations on health and safety.	Administration	Lynda Cull	Partially Effective
Finance officers perform random transaction coding reviews in key risk natural accounts, where miscodings are prone to occur.	Administration	Joe Smith	Partially Effective
Community response planning	Preventive	Jack Watts	Partially Effective
Internal audit	Administration	Allison Davies	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen Miller	Partially Effective
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Service Coordinator.	Preventive	Monica Harris	Partially Effective
Services Coordinator.	n	T Ó'd	p
Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective

Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by	Preventive	Joe Smith	Partially Effective
the relevant Line Manager.			
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review	Preventive	Jack Watts	Fully Effective
Ongoing implementation of restricted user access practices, limited to specific functions of a given role	Mitigation	Joe Smith	Fully Effective
Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens	

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OR - 5 : Inabil	ity to borrow funds when need	led at affordable interest rates						
Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating	
Catherine Allan- Director	Reduction in available internal reserves; Reduction in available internal reserves		Financial	Almost Certain	Catastrophic	Very High	(À) High	
Risk Controls								
Control		Ту	pe	Owr	ner	Rati	ing	
Internal audit progra	m	Prev	entive	Jack	Watts	Substantially Effective		
Visitor Experience E	Business Unit plans	Prev	entive	Amy S	tevens	Substantially Effective		
Regular Office/Work	s Site Safety inspections	Prev	entive	ntive Joe Smith		Substantially Effective		
Financial delegation	limits	Prev	Preventive		Allison Davies		Substantially Effective	
Customer surveys, fo	eedback, etc.	Prev	entive	Allison	Davies	Substantially Effective		
Segregation of duties	S	Prev	entive	Jack	Watts	Substantial	y Effective	
Staff training		Prev	entive	Karen	Miller	Substantial	y Effective	
Staff training		Prev	entive	Allison	Davies	Substantial	y Effective	
Governance policies	and procedures	Admin	istration	Jack	Watts	Substantial	y Effective	
Robust policies and procedures		Prev	Preventive		tevens	Substantially Effective		
Alpha system		Prev	entive	Amy Stevens		Substantially Effective		
Succession planning		Prev	Preventive		Jack Watts		Substantially Effective	
Performance manage	ement	Prev	entive	Jack	Watts	Substantial	y Effective	
Alpha family backup	o services	Prev	entive	Joe S	mith	Substantial	y Effective	

The Annual Financial Report, including Budget Comparison, is audited. Financial reports, including budget variances, are presented to and reviewed by EMT each month and by Council each quarter.	Mitigation	Allison Davies	Substantially Effective
Budget Managers perform random reviews of transactions each month for coding errors. Budget Managers perform monthly budget variance analyses to detect misappropriation of funds.			
Keeping up-to-date with Atlantis predictions and factoring this into delivery	Mitigation	Carlene James	Substantially Effective
Monthly reporting on Local Law enforcement.	Preventive	Jason Gardner	Substantially Effective
Internal controls in place	Preventive	Jennifer Rance	Substantially Effective
Lobbying	Mitigation	Wayne Horn	Substantially Effective
Staff training and professional development	Preventive	Allison Davies	Substantially Effective
Police checks on new employees	Preventive	David Murray	Substantially Effective
Awareness of industry trends and developments	Preventive	Allison Davies	Substantially Effective
The Chart of Accounts include an explanatory guide and examples transactions that should be coded to each natural account.	Preventive	Allison Davies	Substantially Effective
Industry specific professional staff	Preventive	Allison Davies	Substantially Effective
Budget for exhibition development.	Preventive	Allison Davies	Substantially Effective
Policies and procedures are in place	Preventive	Allison Davies	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Quarterly budget monitoring	Preventive	Catherine Allan	Substantially Effective
Business improvement plan developed and reviewed annually for each Department.	Preventive	Joe Smith	Substantially Effective
Alpha building system	Preventive	Allison Davies	Substantially Effective
Monitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jenny Doe	Substantially Effective
Provide training for Councillors	Preventive	Allison Davies	Substantially Effective
Fraud training	Preventive	Allison Davies	Substantially Effective
Staff training and competencies	Preventive	Amy Stevens	Substantially Effective
Account coding training is provided to relevant staff.	Preventive	Monica Harris	Substantially Effective
Long Term Plan	Preventive	Carlene James	Substantially Effective
Disaster Recovery Plan	Administration	Karen Miller	Substantially Effective
Regular education of procedures and regulations on health and safety.	Administration	Lynda Cull	Partially Effective
Finance officers perform random transaction coding reviews in key risk natural accounts,	Administration	Joe Smith	Partially Effective
where miscodings are prone to occur.	Administration	Joe Shilui	I al daily Effective
Community response planning	Preventive	Jack Watts	Partially Effective
Internal audit	Administration	Allison Davies	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen Miller	Partially Effective
General journal requests are reviewed and posted by the Financial Accountant,	Preventive	Monica Harris	Partially Effective
Management Accountant or Accounting Services Co-ordinator.			
Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant.			
Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting			
Services Coordinator.	<b>P</b>		10 - 11 11 11 10 - 11
Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding.	Preventive	Joe Smith	Partially Effective
Credit card reconciliations are reviewed and approved for appropriate account coding by the relevant Line Manager.			
Employment of third party security vendor, to monitor systems 24/7 Health and Safety Training	Preventive Mitigation	Jack Watts Amy Stevens	None or Totally Ineffective None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance	Administration	Amy Stevens Renae Ibrahim	None or Totally Ineffective
with those obligations	Administration	Actiac Iotanilli	rone of forany menecuve

Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review	Preventive	Jack Watts	Fully Effective
Ongoing implementation of restricted user access practices, limited to specific functions of a given role	Mitigation	Joe Smith	Fully Effective
Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens	

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## OR - 6 : Council incurs an unexpected financial loss through a malicious act

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Amy Stevens- Manager			Financial	Likely	Catastrophic	Very High	(200) Medium

			veryrngn meanan
Risk Controls			
Control	Туре	Owner	Rating
Internal audit program	Preventive	Jack Watts	Substantially Effective
Visitor Experience Business Unit plans	Preventive	Amy Stevens	Substantially Effective
Regular Office/Work Site Safety inspections	Preventive	Joe Smith	Substantially Effective
Financial delegation limits	Preventive	Allison Davies	Substantially Effective
Customer surveys, feedback, etc.	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jack Watts	Substantially Effective
Staff training	Preventive	Karen Miller	Substantially Effective
Staff training	Preventive	Allison Davies	Substantially Effective
Governance policies and procedures	Administration	Jack Watts	Substantially Effective
Robust policies and procedures	Preventive	Amy Stevens	Substantially Effective
Alpha system	Preventive	Amy Stevens	Substantially Effective
Succession planning	Preventive	Jack Watts	Substantially Effective
Performance management	Preventive	Jack Watts	Substantially Effective
Alpha family backup services	Preventive	Joe Smith	Substantially Effective
The Annual Financial Report, including Budget Comparison, is audited. Financial reports, including budget variances, are presented to and reviewed by EMT each month and by Council each quarter. Budget Managers perform random reviews of transactions each month for coding errors. Budget Managers perform monthly budget variance analyses to detect misappropriation of funds.	Mitigation	Allison Davies	Substantially Effective
Keeping up-to-date with Atlantis predictions and factoring this into delivery	Mitigation	Carlene James	Substantially Effective
Monthly reporting on Local Law enforcement.	Preventive	Jason Gardner	Substantially Effective
Internal controls in place	Preventive	Jennifer Rance	Substantially Effective
Lobbying	Mitigation	Wayne Horn	Substantially Effective
Staff training and professional development	Preventive	Allison Davies	Substantially Effective
Police checks on new employees	Preventive	David Murray	Substantially Effective
Awareness of industry trends and developments	Preventive	Allison Davies	Substantially Effective
The Chart of Accounts include an explanatory guide and examples transactions that should be coded to each natural account.	Preventive	Allison Davies	Substantially Effective
Industry specific professional staff	Preventive	Allison Davies	Substantially Effective
Budget for exhibition development.	Preventive	Allison Davies	Substantially Effective
Policies and procedures are in place	Preventive	Allison Davies	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective

Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Quarterly budget monitoring	Preventive	Catherine Allan	Substantially Effective
Business improvement plan developed and reviewed annually for each Department.	Preventive	Joe Smith	Substantially Effective
Alpha building system	Preventive	Allison Davies	Substantially Effective
Monitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jenny Doe	Substantially Effective
Provide training for Councillors	Preventive	Allison Davies	Substantially Effective
Fraud training	Preventive	Allison Davies	Substantially Effective
Staff training and competencies	Preventive	Amy Stevens	Substantially Effective
Account coding training is provided to relevant staff.	Preventive	Monica Harris	Substantially Effective
Long Term Plan	Preventive	Carlene James	Substantially Effective
Disaster Recovery Plan	Administration	Karen Miller	Substantially Effective
Regular education of procedures and regulations on health and safety.	Administration	Lynda Cull	Partially Effective
Finance officers perform random transaction coding reviews in key risk natural accounts,	Administration	Joe Smith	Partially Effective
where miscodings are prone to occur.			
Community response planning	Preventive	Jack Watts	Partially Effective
Internal audit	Administration	Allison Davies	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier	Administration	Karen Miller	Partially Effective
invoices during invoices matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.			
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator.	Preventive	Monica Harris	Partially Effective
	Preventive	Joe Smith	Partially Effective
Training programs in place			
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding.	Preventive	Joe Smith	Partially Effective
Credit card reconciliations are reviewed and approved for appropriate account coding by the relevant Line Manager.			
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
	Preventive	Joe Smith	
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection			Fully Effective
Annual development review Ongoing implementation of restricted user access practices, limited to specific functions	Preventive Mitigation	Jack Watts Joe Smith	Fully Effective Fully Effective
of a given role Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
	magaton	. my stevens	i uny Enteure

Investment and liab interest rate risk ma	ility management policies which cover credit, li	iquidity/maturity and	Preve	entive	Amy S	Stevens	Fully E	ffective
DSS	indgement.		Admin	istration	Paul	Hilton	Fully E	ffective
	wer backups knowing the power outages would	doccur		gation		r Rance	Fully E	
-	oint-in-time technologies, Hence scan the files i			istration		Doe	Fully E	
	strategies and policies.	i uley find matcious		gation	Amy S		Fully E	
		initiation and		entive	5		Fully E	necuve
interest rate risk ma	ility management policies which cover credit, li nagement	iquidity/maturity and	r iev	entive	Any	Stevens		
Risk Actions								
			380c0fe0-edbd-449c	-94a5-e1b6d1d9d795				
00.7.0								
OR - 7 : Poor	quality exhibitions							
Owner	Causes	Impacts		Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Faye Stanley-	Insufficient financial investment; Non-			Reputation	Almost Certain	Catastrophic	æ	
Manager	professional staff; Insufficient financial investment; Non-professional staff							
							Very High	High
<b>Risk Controls</b>								
Control			Ту	pe	Ow	ner	Rat	ing
Internal audit progr	am			entive		Watts	Substantial	
Visitor Experience	Business Unit plans		Preve	entive	Amy S	Stevens	Substantial	ly Effective
-	rk Site Safety inspections		Preve	entive	Joe S		Substantial	
Financial delegation	n limits		Preve	entive	Allison	Davies	Substantial	ly Effective
Customer surveys,	feedback, etc.		Preve	entive	Allison	Davies	Substantial	ly Effective
Segregation of duti	es		Preve	entive	Jack	Watts	Substantial	ly Effective
Staff training			Preve	entive	Karen	Miller	Substantial	ly Effective
Staff training			Preve	entive	Allison	Davies	Substantial	ly Effective
Governance policie	es and procedures		Admin	istration	Jack	Watts	Substantial	ly Effective
Robust policies and	l procedures		Preve	entive	Amy S	Stevens	Substantial	ly Effective
Alpha system			Preve	entive	Amy S	Stevens	Substantial	ly Effective
Succession plannin	g		Preve	entive	Jack	Watts	Substantial	ly Effective
Performance manag	gement		Preve	entive	Jack	Watts	Substantial	ly Effective
Alpha family back	ıp services		Preve	entive	Joe S	Smith	Substantial	ly Effective
The Annual Finance	ial Report, including Budget Comparison, is au	dited. Financial	Mitig	gation	Allison	Davies	Substantial	ly Effective
reports, including b and by Council eac	udget variances, are presented to and reviewed	by EMT each month						
Budget Managers p	perform random reviews of transactions each me							
Budget Managers p of funds.	perform monthly budget variance analyses to de	tect misappropriation						
	with Atlantis predictions and factoring this into	delivery	Mitis	gation	Carlen	e James	Substantial	ly Effective
Monthly reporting on Local Law enforcement.			entive		Fardner	Substantial	•	
Internal controls in place		Preve	Preventive		r Rance	Substantially Effective		
Lobbying					e Horn	Substantially Effective		
Staff training and professional development		Preve	Preventive Allison Davies		Davies	Substantially Effective		
Police checks on new employees		Preve	Preventive		David Murray		Substantially Effective	
Awareness of industry trends and developments		Preve	entive	Allison	Davies	Substantially Effective		
The Chart of Accor	unts include an explanatory guide and examples	s transactions that	Preve	entive	Allison	Davies	Substantial	ly Effective
	each natural account.							
Industry specific pr				entive	Allison		Substantial	
Budget for exhibiti	-			entive	Allison		Substantial	
Policies and proced				entive	Allison		Substantial	
	l arrest system in construction sites			entive		Smith	Substantial	
	l arrest system in construction sites			entive		Smith	Substantial	
Quarterly budget m				entive		ne Allan	Substantial	-
-	nent plan developed and reviewed annually for	each Department.		entive		Smith	Substantial	
Alpha building syst				entive	Allison		Substantial	
	ance with the policies and procedures			entive		Davies	Substantial Substantial	
Segregation of duti				entive entive	Allison	/ Doe Davies	Substantial Substantial	
Provide training for	Couldinois			entive	Allison		Substantially Effecti Substantially Effecti	
Fraud training	ompetencies							
Staff training and c				entive	Amy S Monice		Substantial Substantial	
-	ining is provided to relevant staff.			entive		a Harris	Substantial Substantial	
Long Term Plan Disaster Recovery	Plan			entive istration		e James Miller	Substantial Substantial	
Disaster Recovery	· · · · · · · · · · · ·		Aunin		Karen		Substantial	ij Enecuve

Administration

Administration

Regular education of procedures and regulations on health and safety.

Finance officers perform random transaction coding reviews in key risk natural accounts, where miscodings are prone to occur.

Partially Effective

Partially Effective

Lynda Cull

Joe Smith

Community response planning	Preventive	Jack Watts	Partially Effective
Internal audit	Administration	Allison Davies	Partially Effective
Business continuity plans and procedures	Preventive	Amy Stevens	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen Miller	Partially Effective
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator.	Preventive	Monica Harris	Partially Effective
Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by the relevant Line Manager.	Preventive	Joe Smith	Partially Effective
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review Ongoing implementation of restricted user access practices, limited to specific functions	Preventive Mitigation	Jack Watts Joe Smith	Fully Effective Fully Effective
of a given role	-		·
Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS Have additional power backups knowing the power outgress would occur	Administration	Paul Hilton Jennifer Rance	Fully Effective
Have additional power backups knowing the power outages would occur Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Mitigation	John Doe	Fully Effective Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and	Preventive	Amy Stevens	- any Eliceuve

Dwner	Causes	Impacts		Category	Likelihood	Consequence	Initial Biok Boting	Current Bick Potin
aye Stanley-				Reputation	Almost Certain	Catastrophic	Risk Rating	Risk Ratin
lanager				Reputation	Annost Certain	Cutastrophic	$(\mathfrak{B})$	
							Very High	Medium
Risk Controls								
Control			Туре		Ow	ner	Rat	ing
nternal audit progra	am		Prevent	ive	Jack	Watts	Substantial	ly Effective
/isitor Experience I	Business Unit plans		Prevent	ive	Amy S	tevens	Substantial	ly Effective
Regular Office/Wor	k Site Safety inspections		Prevent	ive	Joe S	Smith	Substantial	ly Effective
inancial delegation	1 limits		Prevent	ive	Allison	Davies	Substantial	ly Effective
Customer surveys, f	feedback, etc.		Prevent	ive	Allison	Davies	Substantial	ly Effective
egregation of dutie	25		Prevent	ive	Jack	Watts	Substantial	ly Effective
staff training			Prevent	ive	Karen	Miller	Substantial	ly Effective
taff training			Prevent	ive	Allison	Davies	Substantial	ly Effective
overnance policies	s and procedures		Administr	ation	Jack	Watts	Substantial	ly Effective
obust policies and	procedures		Prevent	ive	Amy S	tevens	Substantial	ly Effective
lpha system			Prevent	ive	Amy S	itevens	Substantial	ly Effective
uccession planning	g		Prevent	ive	Jack	Watts	Substantial	ly Effective
erformance manag	gement		Preventive		Jack Watts		Substantially Effective	
lpha family backu	p services		Preventive		Joe Smith		Substantially Effective	
eports, including bu nd by Council eacl Budget Managers p	ial Report, including Budget Comparison, is udget variances, are presented to and reviewed h quarter. erform random reviews of transactions each n erform monthly budget variance analyses to o	d by EMT each month nonth for coding errors.	Mitigati	on	Allison	Davies	Substantial	ly Effective
eeping up-to-date	with Atlantis predictions and factoring this ir	to delivery	Mitigati	on	Carlene	e James	Substantial	ly Effective
fonthly reporting o	on Local Law enforcement.		Prevent	ive	Jason C	ardner	Substantial	ly Effective
nternal controls in j	place		Prevent	ive	Jennifer	r Rance	Substantial	ly Effective
obbying			Mitigati	on	Wayne	e Horn	Substantial	ly Effective
taff training and pr	rofessional development		Prevent	ive	Allison	Davies	Substantial	ly Effective
olice checks on ne	w employees		Prevent	ive	David	Murray	Substantial	ly Effective
wareness of indust	try trends and developments		Prevent	ive	Allison	Davies	Substantial	ly Effective
	ints include an explanatory guide and example ach natural account.	es transactions that	Prevent	ive	Allison	Davies	Substantial	ly Effective
ndustry specific pro	ofessional staff		Prevent	ive	Allison	Davies	Substantial	ly Effective
udget for exhibitio	on development.		Prevent	ive	Allison	Davies	Substantial	ly Effective
olicies and proced	ures are in place		Prevent	ive	Allison	Davies	Substantial	ly Effective
quipment of a Fall	arrest system in construction sites		Prevent	ive	Joe S	Smith	Substantial	ly Effective
quipment of a Fall	arrest system in construction sites		Prevent	ive	Joe S	Smith	Substantial	ly Effective
uarterly budget m	onitoring		Prevent	ive	Catherin	ne Allan	Substantial	ly Effective
usiness improvem	ent plan developed and reviewed annually fo	r each Department.	Prevent	ive	Joe S	Smith	Substantial	ly Effective
lpha building syste	em		Prevent	ive	Allison	Davies	Substantial	ly Effective
fonitoring complia	nce with the policies and procedures		Prevent	ive	Allison	Davies	Substantial	ly Effective
egregation of dutie	es		Preventive		Jenny Doe		Substantially Effective	
rovide training for	Councillors		Prevent	ive	Allison	Davies	Substantial	ly Effective
Fraud training			Preventive		Allison Davies		Substantially Effective	
Staff training and competencies			Preventive		Amy Stevens		Substantially Effective	
Account coding training is provided to relevant staff.			Preventive		Monica Harris		Substantially Effective	
ong Term Plan			Prevent	ive	Carlene	e James	Substantial	ly Effective
isaster Recovery I	Plan		Administr	ation	Karen	Miller	Substantial	ly Effective
egular education o	of procedures and regulations on health and s	afety.	Administr	ation	Lynda	a Cull	Partially	Effective
inance officers per here miscodings a	form random transaction coding reviews in k	ey risk natural accounts,	Administr	ation	Joe S	Smith	Partially	Effective
Community respons	-		Prevent	ive	Jack	Watts	Partially	Effective
nternal audit			Administr		Allison		Partially	

Employment of Maintenance TeamPreventiveJennifer RanceParalally EffectiveSubmission on proposed legislative changesAdministrationCatherine AllanParalaly EffectiveSubmission on proposed legislative changesAdministrationCatherine AllanParalaly EffectiveSubensiston on proposed legislative changesMingationJoe SmithParalaly EffectiveRestrict access to your sensitive data.AdministrationJohn WayneParalaly EffectiveRestrict access to your sensitive data.Paralaly EffectiveRestrict access to your sensitive data.Paralaly EffectiveRescrict approace by the Financial Accountant, managenerat Accountant act Accountant, and approved by the Financial Accountant, Basic and Balance Sheet rescrictations representiveParealay EffectiveResourcing the wate team to improve performancePreventiveJoes SmithParalaly EffectiveResourcing the wate team to improve performancePreventiveAdingationJaseo GardnerParalaly EffectiveEnsert access to pregramMingationJaseo GardnerParalaly EffectiveEffectiveLocal document plans and proceduresPreventiveAllion	
Submission on proposed legislative changesAdministrationCatherine AllanPartially EffectiveKeeping up-odule with Bod predictions and factoring his into deliveryPreventiveJack WatsPartially EffectiveRestrict access to provide factoring his into deliveryPreventiveJohn WaynePartially EffectiveRestrict access to your sensitive dut.AdministrationJohn WaynePartially EffectiveRescurst restrict access to provide suscess with the Purchasing & APCarliere JamesPartially EffectiveRescurst restrict access to restrict and accountants, and partially EffectivePreventiveCarliere JamesPartially EffectiveCoordinator of Accountant or Accountants, and partially EffectivePreventiveMonica HarrisPartially EffectiveDay but reconciliations are reviewed quarterly by the Accountant are reviewed and approved by the Financial Accountant are reviewed and partially EffectivePreventiveCarlierine AllanPartially EffectiveTraining programs in placePreventivePreventiveCarlierine AllanPartially EffectiveEnsers scheduling accounts for this and plans for applicable dates as much apossibleMingationJaco GardnerPartially EffectiveEnsers with count for grammaMingationJaco GardnerPartially EffectiveLineral add programMingationJaco GardnerPartially EffectiveLineral add programMingationJaco GardnerPartially Effective<	
Keeping up-to-dak with BoM predictions and factoring this into deliveryPreventiveJack WattsPartially EffectiveSuccesso plans in place for all key rolesMitigationJoe SmithPartially EffectiveRestrict access to yours ensitive data.AdministrationJohn WaynePartially EffectiveAccounts Payabe offector check natural account codes from purchase orders to supplier rouces during invoice naturing and mise any coding issues with the Partially & EffectiveAdministrationKaren MillerPartially EffectiveCoordinator or Accounting Services Co-onfinitor. Daly but Accountant, Services Co-onfinitor. Payabe france, Edser to conclinator. Payabe and reconserved and approved by the Faancial Accountant are reviewed and approved by the Faancial Accountant. Bank and Balance Selver coordinator.PreventiveJoe SmithPartially EffectivePartially EffectiveResourcing the water team to improve performancePreventiveJoe SmithPartially EffectivePake coordinatorsPreventiveJason GardnerPartially EffectivePake coordinatorsPreventiveJason GardnerPartially EffectivePake coordinatorsPreventiveAllison DaviesPartially EffectivePake coordinatorPartially EffectiveJason GardnerPartially EffectivePartially EffectiveMitigationJason GardnerPartially EffectivePartially EffectiveMitigationJason GardnerPartially EffectivePartially EffectiveMitigationJason GardnerPartially EffectivePartially EffectiveAllison DaviesPartially Eff	
Succession plans in place for all key rolesMitigationJoe SmithPartialty EffectiveRestrict access to your sensive data.AdministrationJohn WaynePartialty EffectiveInsurance cover:PeventiveCarlene JamesPartialty EffectiveAccounts Psyble officers check natural account codes from purchase orders to supplier invoice matching and rale any coding issues with the Purchasing & AP Coorditator of Accountator	
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Employee surveys Preventive Brad Smith Mostly Effective	
Identify and classify sensitive data Mitigation Jack Collins Mostly Effective	
Retention bonuses Mitigation Karen Miller Mostly Effective	
Staff training on how to recognise and respond to illegal activity Preventive Allison Davies Largely Ineffective	e
Having a Control contractor / Consultant access to the corporate network Mitigation Jenny Doe Largely Ineffective	e
Segregation of duties Preventive Jack Watts Largely Ineffective	e
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection Preventive Joe Smith Fully Effective	
Annual development review Preventive Jack Watts Fully Effective	
Ongoing implementation of restricted user access practices, limited to specific functions Mitigation Joe Smith <b>Fully Effective</b> of a given role	
Identify consultants to cover Mitigation Jack Watts Fully Effective	
Ongoing market condition monitoring. Mitigation Amy Stevens Fully Effective	
Investment and liability management policies which cover credit, liquidity/maturity and Preventive Amy Stevens Fully Effective interest rate risk management.	
DSS Administration Paul Hilton Fully Effective	
Have additional power backups knowing the power outages would occur Mitigation Jennifer Rance Fully Effective	
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious Administration John Doe Fully Effective	
Ongoing review of strategies and policies. Mitigation Amy Stevens Fully Effective	
Investment and liability management policies which cover credit, liquidity/maturity and Preventive Amy Stevens interest rate risk management	

**Risk Actions** 

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OR - 9 : Change of policy from Local Council affecting Visitor Experience Business Units								
Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating	
Allison Davies- Officer			Service Delivery	Possible	Moderate	Medium	Medium	

Risk Controls			
Control	Туре	Owner	Rating
Internal audit program	Preventive	Jack Watts	Substantially Effective
Visitor Experience Business Unit plans	Preventive	Amy Stevens	Substantially Effective
Regular Office/Work Site Safety inspections	Preventive	Joe Smith	Substantially Effective
Financial delegation limits	Preventive	Allison Davies	Substantially Effective
Customer surveys, feedback, etc.	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jack Watts	Substantially Effective
Staff training	Preventive	Karen Miller	Substantially Effective
Staff training	Preventive	Allison Davies	Substantially Effective
Governance policies and procedures	Administration	Jack Watts	Substantially Effective
Robust policies and procedures	Preventive	Amy Stevens	Substantially Effective
Alpha system	Preventive	Amy Stevens	Substantially Effective
Succession planning	Preventive	Jack Watts	Substantially Effective
Performance management	Preventive	Jack Watts	Substantially Effective
Alpha family backup services	Preventive	Joe Smith	Substantially Effective
The Annual Financial Report, including Budget Comparison, is audited. Financial reports, including budget variances, are presented to and reviewed by EMT each month and by Council each quarter. Budget Managers perform random reviews of transactions each month for coding errors. Budget Managers perform monthly budget variance analyses to detect misappropriation of funds.	Mitigation	Allison Davies	Substantially Effective
Keeping up-to-date with Atlantis predictions and factoring this into delivery	Mitigation	Carlene James	Substantially Effective
Monthly reporting on Local Law enforcement.	Preventive	Jason Gardner	Substantially Effective
Internal controls in place	Preventive	Jennifer Rance	Substantially Effective
Lobbying	Mitigation	Wayne Horn	Substantially Effective
Staff training and professional development	Preventive	Allison Davies	Substantially Effective
Police checks on new employees	Preventive	David Murray	Substantially Effective
Awareness of industry trends and developments	Preventive	Allison Davies	Substantially Effective
The Chart of Accounts include an explanatory guide and examples transactions that should be coded to each natural account.	Preventive	Allison Davies	Substantially Effective
Industry specific professional staff	Preventive	Allison Davies	Substantially Effective
Budget for exhibition development.	Preventive	Allison Davies	Substantially Effective
Policies and procedures are in place	Preventive	Allison Davies	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Equipment of a Fall arrest system in construction sites	Preventive	Joe Smith	Substantially Effective
Quarterly budget monitoring	Preventive	Catherine Allan	Substantially Effective
Business improvement plan developed and reviewed annually for each Department.	Preventive	Joe Smith	Substantially Effective
Alpha building system	Preventive	Allison Davies	Substantially Effective
Monitoring compliance with the policies and procedures	Preventive	Allison Davies	Substantially Effective
Segregation of duties	Preventive	Jenny Doe	Substantially Effective
Provide training for Councillors	Preventive	Allison Davies	Substantially Effective
Fraud training	Preventive	Allison Davies	Substantially Effective
Staff training and competencies	Preventive	Amy Stevens	Substantially Effective
Account coding training is provided to relevant staff.	Preventive	Monica Harris	Substantially Effective
Long Term Plan	Preventive	Carlene James	Substantially Effective
Disaster Recovery Plan	Administration Administration	Karen Miller Lynda Cull	Substantially Effective
Regular education of procedures and regulations on health and safety. Finance officers perform random transaction coding reviews in key risk natural accounts,	Administration	Joe Smith	Partially Effective Partially Effective
where miscodings are prone to occur.			
Community response planning	Preventive	Jack Watts	Partially Effective
Internal audit Business continuity plans and procedures	Administration Preventive	Allison Davies	Partially Effective Partially Effective
Business continuity plans and procedures Employment of Maintenance Team	Preventive	Amy Stevens Jennifer Rance	Partially Effective Partially Effective
Employment of Maintenance Team	Preventive	Jennifer Rance	Partially Effective
Submission on proposed legislative changes	Administration	Catherine Allan	Partially Effective
Keeping up-to-date with BoM predictions and factoring this into delivery	Preventive	Jack Watts	Partially Effective
Succession plans in place for all key roles	Mitigation	Joe Smith	Partially Effective
Restrict access to your sensitive data.	Administration	John Wayne	Partially Effective
Insurance cover.	Preventive	Carlene James	Partially Effective
Accounts Payable officers check natural account codes from purchase orders to supplier invoices during invoice matching and raise any coding issues with the Purchasing & AP Coordinator or Accountants.	Administration	Karen Miller	Partially Effective
General journal requests are reviewed and posted by the Financial Accountant, Management Accountant or Accounting Services Co-ordinator. Daily bank reconciliations prepared by the Assistant Financial Accountant are reviewed and approved by the Financial Accountant. Bank and Balance Sheet reconciliations are reviewed quarterly by the Accounting Services Coordinator.	Preventive	Monica Harris	Partially Effective

Training programs in place	Preventive	Joe Smith	Partially Effective
Resourcing the water team to improve performance	Preventive	Catherine Allan	Partially Effective
Police checks on new employees	Preventive	Faye Stanley	Partially Effective
Ensure scheduling accounts for this and plans for applicable dates as much as possible	Mitigation	Jack Watts	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Internal audit program	Mitigation	Jason Gardner	Partially Effective
Lobbying	Preventive	Allison Davies	Partially Effective
Emergency management plans and procedures	Preventive	Allison Davies	Partially Effective
Proactive outreach to local regulatory agencies	Preventive	David Murray	Partially Effective
Local Government Excellence program	Preventive	Allison Davies	Partially Effective
Approved Financial Delegated Officers review and approve debtor invoices, refund requests, petty cash forms, purchase requisitions and creditor invoices for correct natural account coding. Credit card reconciliations are reviewed and approved for appropriate account coding by the relevant Line Manager.	Preventive	Joe Smith	Partially Effective
Employment of third party security vendor, to monitor systems 24/7	Preventive	Jack Watts	None or Totally Ineffective
Health and Safety Training	Mitigation	Amy Stevens	None or Totally Ineffective
Compilation of governance checklist to record legislative obligations and compliance with those obligations	Administration	Renae Ibrahim	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Financial delegation limits	Preventive	Jack Watts	None or Totally Ineffective
Whistle-blower policy	Preventive	Jack Watts	Mostly Effective
Clear succession planning	Mitigation	Jenny Smith	Mostly Effective
Employee surveys	Preventive	Brad Smith	Mostly Effective
Identify and classify sensitive data	Mitigation	Jack Collins	Mostly Effective
Retention bonuses	Mitigation	Karen Miller	Mostly Effective
Staff training on how to recognise and respond to illegal activity	Preventive	Allison Davies	Largely Ineffective
Having a Control contractor / Consultant access to the corporate network	Mitigation	Jenny Doe	Largely Ineffective
Segregation of duties	Preventive	Jack Watts	Largely Ineffective
Provision of suitable work equipment to prevent a fall occurring, e.g. edge protection	Preventive	Joe Smith	Fully Effective
Annual development review	Preventive	Jack Watts	Fully Effective
Ongoing implementation of restricted user access practices, limited to specific functions of a given role	Mitigation	Joe Smith	Fully Effective
Identify consultants to cover	Mitigation	Jack Watts	Fully Effective
Ongoing market condition monitoring.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management.	Preventive	Amy Stevens	Fully Effective
DSS	Administration	Paul Hilton	Fully Effective
Have additional power backups knowing the power outages would occur	Mitigation	Jennifer Rance	Fully Effective
Don't just rely on point-in-time technologies, Hence scan the files if they find malcious	Administration	John Doe	Fully Effective
Ongoing review of strategies and policies.	Mitigation	Amy Stevens	Fully Effective
Investment and liability management policies which cover credit, liquidity/maturity and interest rate risk management	Preventive	Amy Stevens	
Risk Actions			

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