Camms.

Operational Risk Detailed Report

Print date: 08/25/2022

OR - 1 : Loss of accreditation

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Joe Smith-Manager, Planning and Amenity	Poor governance; Poor governance	Damage to reputation.; Changes to level of service.; Damage to reputation.; Changes to level of service.	Legal/Compliance	Almost Certain	Moderate	High	High

Risk Controls

Control	Type	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 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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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	High

Risk Controls

Control	Type	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.	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**
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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**
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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 - 12 : Loss of staff competency level (building)

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Monica Harris-Officer			Legal/Compliance	Possible	Catastrophic	High	Medium

Risk Controls

Control	Type	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**
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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**
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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**
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Lobbying	Preventive	Allison Davies	**Partially Effective**
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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 - 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	High

Risk Controls

Control	Type	Owner	Rating
Internal audit program	Preventive	Jack Watts	**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**
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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 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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OR - 15 : Operational 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	Type	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 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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OR - 18 : Loss of Key Personnel

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
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	Type	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 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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OR - 2 : Deterioration of investments

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Joe Smith-Manager, Planning and Amenity	Investing in poor quality counter parties; Investing in poor quality counter parties	Damage to reputation.; Damage to reputation.	Financial	Likely	Catastrophic	Very High	High

Risk Controls

Control	Type	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 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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OR - 20 : API Test 01

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Paul Hilton-Director			Financial			N/A **N/A**	N/A **N/A**

Risk Controls

Control	Type	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 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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OR - 21 : API Test 02

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Paul Hilton-Director			Financial			N/A **N/A**	N/A **N/A**

Risk Controls

Control	Type	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 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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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	Type	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 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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OR - 23 : API Test 04

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Paul Hilton-Director			Financial			N/A **N/A**	N/A **N/A**

Risk Controls

Control	Type	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.	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 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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OR - 24 : QA OP Test 01

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Paul Hilton-Director			Financial			N/A **N/A**	N/A **N/A**

Risk Controls

Control	Type	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 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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OR - 25 : QA OP Test 02

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Paul Hilton-Director		Death	Financial			N/A **N/A**	N/A **N/A**

Risk Controls

Control	Type	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 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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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 to mitigate budget variance enquiries.	Damage to reputation.; Damage to reputation.	Financial	Likely	Catastrophic	Very High	High

Risk Controls

Control	Type	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.	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 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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OR - 4 : An unsafe working environment leading to accidents and possible injury to people and staff, leading to possible financial and other penalties.

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Jack Watts-Officer	Unsafe conditions; Poor work habits; Unsafe conditions	Electric shock	Occupational Health and Safety	Unlikely	Moderate	N/A **Low**	**High**

Risk Controls

Control	Type	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 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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OR - 5 : Inability to borrow funds when needed 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	High

Risk Controls

Control	Type	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.	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 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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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	Medium

Risk Controls

Control	Type	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 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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OR - 7 : Poor quality exhibitions

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Faye Stanley-Manager	Insufficient financial investment; Non-professional staff; Insufficient financial investment; Non-professional staff		Reputation	Almost Certain	Catastrophic	Very High	High

Risk Controls

Control	Type	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.	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 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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OR - 8 : Illegal or offensive activity at venue

Owner	Causes	Impacts	Category	Likelihood	Consequence	Initial Risk Rating	Current Risk Rating
Faye Stanley-Manager			Reputation	Almost Certain	Catastrophic	Very High	Medium

Risk Controls

Control	Type	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 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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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	Type	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.	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**
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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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