



SR - 1 : Centrally imposed major organisational structural changes

| 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.; Damage to reputation.; Appointment of Administrators.; Changes to level of service.; Changes to level of service.; Appointment of Administrators. | Service Delivery | Likely | Major |  High |  Medium |

Risk Controls

| Control | Type | Owner | Rating |
|--------------------------------------------|----------------|-----------------|-------------------------|
| Governance policies and procedures | Administration | Jack Watts | Substantially Effective |
| Provide training for Councillors | Preventive | Allison Davies | Substantially Effective |
| Internal audit | Administration | Allison Davies | Partially Effective |
| Submission on proposed legislative changes | Administration | Catherine Allan | Partially Effective |
| Local Government Excellence program | Preventive | Allison Davies | Partially Effective |
| Lobbying | Preventive | Allison Davies | Partially Effective |

Risk Actions

| Action | Resource requirement | Owner | % Complete | Status |
|-----------------------------------------------------|----------------------|-------------------------------------------|------------|-------------|
| Engage with external consultants | None | Jenny Doe - Manager | 100 | Completed |
| Formulate draft organisational structure for review | | Joe Smith - Manager, Planning and Amenity | 68 | In Progress |
| Research best practice structures | | Allison Davies - Officer | 10 | In Progress |

SR - 2 : Polluted Water Delivery

| Owner | Causes | Impacts | Category | Likelihood | Consequence | Initial Risk Rating | Current Risk Rating |
|------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|------------------|------------|-------------|-----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|
| Joe Smith- Manager, Planning and Amenity | Failing to comply with the Local Government Act.; Collusion; Collusion; Failing to comply with the Local Government Act. | Damage to reputation.; Damage to reputation. | Service Delivery | Likely | Major |  High |  Very High |

Risk Controls

| Control | Type | Owner | Rating |
|--------------------------------------------------|------------|-----------------|-------------------------|
| Lobbying | Mitigation | Wayne Horn | Substantially Effective |
| Proactive outreach to local regulatory agencies | Preventive | David Murray | Partially Effective |
| Resourcing the water team to improve performance | Preventive | Catherine Allan | Partially Effective |

Risk Actions

| Action | Resource requirement | Owner | % Complete | Status |
|-----------------------------------------------|----------------------|-------------------------------------------|------------|-------------|
| Improving 3 waters asset management practices | | Joe Smith - Manager, Planning and Amenity | 10 | In Progress |
| Improving 3 waters operations | | Jack Watts - Officer | 75 | In Progress |
| Planning for additional resources | | Joe Smith - Manager, Planning and Amenity | 100 | Completed |
| Submission to the Water Enquiry | | Jason Gardner - Officer | 45 | In Progress |

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

| Owner | Causes | Impacts | Category | Likelihood | Consequence | Initial Risk Rating | Current Risk Rating |
|------------------------------------------|--------------------------------------|---------------------------------------------------------------|------------|------------|--------------|-----------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|
| Joe Smith- Manager, Planning and Amenity | PCs still provide local admin access | Penalty payments and legal liabilities; Impact to Brand Image | Reputation | Possible | Catastrophic |  High |  Medium |

Risk Controls

| Control | Type | Owner | Rating |
|-----------------------------------------------------------------------------------------------------------|------------|------------|-----------------------------|
| Employment of third party security vendor, to monitor systems 24/7 | Preventive | Jack Watts | None or Totally Ineffective |
| Ongoing implementation of restricted user access practices, limited to specific functions of a given role | Mitigation | Joe Smith | Fully Effective |

Risk Actions

| Action | Resource requirement | Owner | % Complete | Status |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|-------------------------------------------|------------|-------------|
| Develop and Implement policies to address the risk of people bringing personal devices to work. | | Joe Smith - Manager, Planning and Amenity | 27 | In Progress |
| Encryption to be installed on all company laptops, mobile devices and removable media | | Lynda Cull - Officer | 29 | In Progress |
| Implement and enforce a policy prohibiting employees from keeping working papers, passwords or any sensitive documents in view while they are away from their desks | | Monica Harris - Officer | 5 | In Progress |

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

| Owner | Causes | Impacts | Category | Likelihood | Consequence | Initial Risk Rating | Current Risk Rating |
|------------------------------------------|--------|---------|------------------|----------------|-------------|---------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|
| Joe Smith- Manager, Planning and Amenity | | | Service Delivery | Almost Certain | Moderate |  High |  High |

Risk Controls

| Control | Type | Owner | Rating |
|--------------------------------------------------------------------------------|------------|-----------|-------------------------|
| Business improvement plan developed and reviewed annually for each Department. | Preventive | Joe Smith | Substantially Effective |
| Training programs in place | Preventive | Joe Smith | Partially Effective |
| Succession plans in place for all key roles | Mitigation | Joe Smith | Partially Effective |

Risk Actions

| Action | Resource requirement | Owner | % Complete | Status |
|-----------------------------------------------------------------------------------------------------------------------|----------------------|-------------------------------------------|------------|-------------|
| Business improvement plan developed and reviewed annually for each Department. | | Joe Smith - Manager, Planning and Amenity | 100 | Completed |
| Community Satisfaction Survey coordinated by the Planning and Community Development department on behalf of councils. | | Joe Smith - Manager, Planning and Amenity | 0 | Not Started |

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

| Owner | Causes | Impacts | Category | Likelihood | Consequence | Initial Risk Rating | Current Risk Rating |
|-----------------------|--------|---------|----------------------------------|------------|--------------|----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| Faye Stanley- Manager | | | Business Strategies and Policies | Possible | Catastrophic |  High |  High |

Risk Controls

| Control | Type | Owner | Rating |
|-------------------------------------------------------------------------------------------------------------|----------------|---------------|-----------------------------|
| Compilation of governance checklist to record legislative obligations and compliance with those obligations | Administration | Renae Ibrahim | None or Totally Ineffective |

Risk Actions

| Action | Resource requirement | Owner | % Complete | Status |
|---------------------------------------------------------------------------|----------------------|-------------------------------------------|------------|-------------|
| Assign responsibility for compilation and maintenance of the register | | Joe Smith - Manager, Planning and Amenity | 50 | In Progress |
| Carry out weekly training for elected members in current and proposed | | David Murray - Manager | 5 | Deferred |
| Compilation of governance checklist to record legislative obligations and | | Renae Ibrahim - Manager | 100 | Completed |
| Organise training staff in current and proposed legislative requirements | | Joe Smith - Manager, Planning and Amenity | 30 | In Progress |

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

| Owner | Causes | Impacts | Category | Likelihood | Consequence | Initial Risk Rating | Current Risk Rating |
|-----------------------|--------|---------|------------------|------------|-------------|-------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
| Paul Hilton- Director | | | Service Delivery | Possible | Moderate |  Medium |  High |



Risk Controls

| Control | Type | Owner | Rating |
|-------------------------------------------|------------|----------------|---------------------|
| Emergency management plans and procedures | Preventive | Allison Davies | Partially Effective |
| Insurance cover. | Preventive | Carlene James | Partially Effective |
| Community response planning | Preventive | Jack Watts | Partially Effective |
| Business continuity plans and procedures | Preventive | Amy Stevens | Partially Effective |

Risk Actions

| Action | Resource requirement | Owner | % Complete | Status |
|----------------------------------------------------------|----------------------|-------------------------|------------|-------------|
| Evaluate Council's insurance cover | | Carlene James - Officer | 25 | In Progress |
| Review and test Business Continuity Plans and procedures | | Carlene James - Officer | 75 | In Progress |

SR - 7 : Loss or theft of critical information

| Owner | Causes | Impacts | Category | Likelihood | Consequence | Initial Risk Rating | Current Risk Rating |
|------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|----------------|--------------|--------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|
| Joe Smith- Manager, Planning and Amenity | Frequent power outages. ; Work-at-home flexibility increases issues.; Computer or Laptop theft; PCs still provide local admin access; The hard drive frequently crashes; unintentional deletion of data files or sections | Financial Impact; Impact to Brand Image; Legal repercussions; Malicious attacks that takes down machines or whole network resources; Suffer damaging the downtime | Reputation | Almost Certain | Catastrophic |  Very High |  High |

Risk Controls

| Control | Type | Owner | Rating |
|--------------------------------------------------------------------------------------------|----------------|----------------|-------------------------|
| Disaster Recovery Plan | Administration | Karen Miller | Substantially Effective |
| Restrict access to your sensitive data. | Administration | John Wayne | Partially Effective |
| Identify and classify sensitive data | Mitigation | Jack Collins | Mostly Effective |
| Having a Control contractor / Consultant access to the corporate network | Mitigation | Jenny Doe | Largely Ineffective |
| Don't just rely on point-in-time technologies, Hence scan the files if they find malicious | Administration | John Doe | Fully Effective |
| Have additional power backups knowing the power outages would occur | Mitigation | Jennifer Rance | Fully Effective |

Risk Actions

| Action | Resource requirement | Owner | % Complete | Status |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|-------------------------------------------|------------|-------------|
| Develop and Implement policies to address the risk of people bringing personal devices to work. | | Jenny Smith - Manager | 61 | In Progress |
| Encryption to be installed on all company laptops, mobile devices and removable media | | Jenny Doe - Manager | 71 | In Progress |
| Train employees on the various techniques used by fraudsters, such as "phishing" and "smishing" and to never open attachments or download anything from an unknown source. | | Joe Smith - Manager, Planning and Amenity | 100 | Completed |