Shire of Merredin
Risk Dashboard Report
Sept 2019

Asset management practices

	Risk	Control
	Moderate	Adequate

Failure or reduction in service of infrastructure, plant, equipment or consumable assets. These include fleet; buildings, roads and playgrounds and all other assets during their lifecycle from procurement to disposal.

Actions	Due Date	Responsibility
Asset Finda Training - 2nd module (mobile field module)	Dec-19	EMES
Verification of Roads data from ROMANS to Assetfinda	Jun-20	EMES
Commence quarterly stocktakes at works depot	Sep-20	EMCS/EMES

Environment management

	Risk	Control
	Moderate	Adequate

Inadequate prevention, identification, enforcement and management of environmental issues.

Actions	Due Date	Responsibility
Review Salinity Management Program	Oct-20	NRMO
Complete outstanding actions from waste water re-use audit	Dec-19	EMES
Traning to be completed for the Waste water management program	Jun-20	EMDS/EMES

Failure to fulfil compliance requirements (statutory, regulatory)

	Risk	Control
	Moderate	Adequate

Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated internal & public domain legal documentation.

Actions	Due Date	Responsibility
Review Compliance Calendar module within Synergy	Dec-19	EMCS
Review process for external review of CAR completion	Dec-19	CEO

Document Management processes

	Risk	Control
	Low	Adequate

Failure to adequately capture, store, archive, retrieve, provide or dispose of documentation.

Actions	Due Date	Responsibility
Digitise HR Records	Jun-20	EMCS
Digitise all archived material	Jun-20	EMCS
Create Policy Index with 'last reviewed date' component	Jun-20	EMCS
Create Procedure Index with 'last reviewed date' component	Jun-20	EMCS
Review archives for the Shire	Jun-20	EMCS

Employment practices

	Risk	Control
	Low	Adequate

Failure to effectively manage and lead human resources (full-time, part-time, casuals, temporary and

Actions	Due Date	Responsibility
Develop and implement Recruitment Process	Dec-19	EMCS/DCEO
Develop and implement Performance Management Process	Jun-20	EMCS/DCEO
Develop and implement Termination Process	Dec-19	EMCS/DCEO
Updating HR Synergy Module	Dec-19	EMCS/DCEO
Review Succession Planning as a component of Workforce Planning	Jun-20	DCEO
Review Performance Management System for outside staff	Dec-19	EMES

Errors, omissions & delays

	Risk	Control
	Moderate	Adequate

Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow

Actions	Due Date	Responsibility
Review workflow management process for DS activities	Jun-20	DCEO/EMDS
Consider a 'Knowledge Management' system for procedures (intranet)	Dec-19	EMCS
Identify procedures to be written for ALL areas	Jun-20	ALL
Review information sheets / pamphlets for inaccurate information	Feb-20	ALL
Consider implementing a process to track complaints / work requests (and distinguish!)	Feb-20	ALL

Misconduct

	Risk	Control
	Moderate	Adequate

Intentional activities intended to circumvent the Code of Conduct or activities in excess of authority, which circumvent endorsed policies, procedures or delegated authority.

Actions	Due Date	Responsibility
Review of Induction Procedure	Dec-19	DCEO
Develop and implement Fraud & Corruption Management Framework incorporating specific disciplinary action (captures - Code of Conduct, Disciplinary Policy etc)	Jun-20	EMCS
Authorised officers letters of appointment	Dec-19	DCEO

External theft, fraud or damage

	Risk	Control
	High	Adequate

Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means. It also includes the wanton damage of Shire assets through vandalism, graffitti or other actions. It does not include Cyber risk - refer to IT Communications and Infrastructure

Actions	Due Date	Responsibility
Review work request / order process to include all vandalism / graffiti incidents (synergy / Assetfinda)	Dec-19	EMES / BPM
Review Admin Security Procedure to include changing of the 4 digit access system every 6 months or when staff leave	Jun-20	BPM/EMCS
Identify owner for CCTV Systems and program	Dec-19	EMCS
Current review of all security access through contractor and assessment of effectiveness	Dec-19	EMES / BPM

Management of Facilities / Venues / Events

	Risk	Control
	Low	Adequate

Failure to effectively manage the day to day operations of facilities, venues and / or events.

Actions	Due Date	Responsibility
Reconsider the Sports Surfacing Renewal Policy and the need for formal agreements to support.	Aug-19	DCEO
Review non-compliance issues at the Merredin Senior Citizens Centre	Dec-19	EMDS
Review Events checklist	Dec-19	DCEO
Review Facility/Venue Hire forms created for Cummins Theatre & other external facilities	Dec-19	DCEO

IT or communication systems and infrastructure

	Risk	Control
	Moderate	Adequate

Disruption, financial loss or damage to reputation from a failure of information technology systems. This could be from internal factors such as instability, degradation of performance, or infrastructure faluire. It also includes external factors such as cyber attacks (successful or attempted) resulting in the inability to continue business activities and provide services to the community. This may or may not result in IT Disaster Recovery Plans being invoked.

Actions	Due Date	Responsibility
Develop an IT Equipment refresh plan (include site map)	Jun-20	EMCS

Supplier / Contract management

	Risk	Control
	Moderate	Adequate

Inadequate management of external suppliers, contractors, IT vendors or consultants engaged to support core operations. This includes potential issues that may arise from the ongoing supply of services or failures in contract management & monitoring processes.

Actions	Due Date	Responsibility
No actions required at this stage		

Safety and Security practices

	Risk	Control
	High	Adequate

Non-compliance with the Occupation Safety & Health Act, associated regulations and standards. It is also the inability to ensure the physical security requirements of staff, contractors and visitors. Other considerations are negligence or carelessness.

Actions	Due Date	Responsibility
Determine Contractor/Site Inspection Procedural approach	Dec-19	SMG

Implement ICT Framework	*Jun-20*	*EMCS*				*Investigate requirement to install silent duress alarms at Admin, Cummins Theatre, CWVC & Library*	*Dec-19*	*DCEO*
Review performance of IT Vendor to provide performance monitoring updates	*Jun-20*	*EMCS*				*Review OHS and new guidelines as identified*	*Jun-20*	*SMG*
Implement Staff Awareness training for IT Security	*Dec-19*	*EMCS*						
Review staff IT access profiles	*Dec-19*	*EMCS*						

Engagement practices		Risk	Control
		Moderate	**Adequate**

Failure to maintain effective working relationships with the Community (including local Media), Stakeholders, Key Private Sector Companies, Government Agencies and / or Elected Members. This includes activities where communication, feedback or consultation is required and where it is in the best interests to do so.

Actions	Due Date	Responsibility
Review Engagement & Consultation Framework	*Jun-20*	*DCEO*
Community Scorecard Survey	*Dec-19*	*DCEO*

Business & Community disruption		Risk	Control
		Moderate	**Inadequate**

Failure to adequately prepare and respond to events that cause disruption to the local community and / or normal business activities. This could be a natural disaster, weather event, or an act carried out by an external party (e.g. sabotage / terrorism).

Actions	Due Date	Responsibility
Implement internal emergency management arrangements across Shire	*Nov-19*	*DCEO*
Training Matrix for BFB training etc (number of BFB)	*Nov-19*	*DCEO*

Procurement & Disposal		Risk	Control
		Moderate	**Effective**

Failures in the procurement, acquisition, acceptance or disposal process for goods & services as governed by the Local Government Act and subsidiary legislation.

Actions	Due Date	Responsibility
Review local panel of suppliers	*Jun-20*	
Review the disposal of assets policy to include updated regulations	*Jun-20*	
Training for requisitions and purchase orders (ongoing)	*Dec-19*	

Projects / Change management		Risk	Control
		Low	**Adequate**

Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time delays or scope changes.

Actions	Due Date	Responsibility
Review process for communication with change initiatives	*Feb-20*	*SMG*