Title:	4.35 Risk Management
Previous No:	
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Statutory Environment:	AS/NZS ISO 31000:2009 Risk Management Principles and Guidelines Occupational Health & Safety Act 1984
Minute No:	8.1.4 032017.OM
Last Updated:	March 2017
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Objective:

The Shire is committed to managing and mitigating risks that may impact its strategies, goals or objectives.

The Shire's risk management objectives:

Optimise the achievement of the Shire vision, mission, strategies, goals and objectives;
Provide transparent and formal oversight of the risk and control environment to enable effective decision making;
Enhance risk versus return within our risk appetite;
Embed appropriate and effective controls to mitigate risk;
Achieve effective corporate governance and adherence to relevant statutory, regulatory and compliance obligations;
Enhance organizational resilience; and
Identify and provide for the continuity of critical operations.

Policy:

To achieve best practice (aligned with AS/NZS ISO 31000:2009 Risk Management), in the management of all risks that may affect the Shire, its customers, people, assets, functions, objectives, operations or members of the public.

The Shire quantified its risk appetite through the development and endorsement of the Shire"s Risk Assessment and Acceptance Criteria. The criteria are included within the Risk Management Procedures and are subject to ongoing review in conjunction with this policy.

Procedure:

Definitions (from AS/NZS ISO 31000:2009)

Risk: Effect of uncertainty on objectives.

Note 1:   An effect is a deviation from the expected – positive or negative.

Note 2:   Objectives can have different aspects (such as financial, health and safety and environmental goals) and can apply at different levels (such as strategic, organisation-wide, project, product or process).

Risk Management: Coordinated activities to direct and control an organisation with regard to risk.

Risk Management Process: The Shire will maintain a systematic application of management policies, procedures and practices to the activities of communication, consulting, establishing the context, and identifying, analysing evaluating, treating, monitoring and reviewing risk.

Risk Management will form part of the strategic, operational, project and line management responsibilities and where practicable, be incorporated within the Shire"s Integrated Planning Framework.

The Shire"s Management Team will determine and communicate the Risk Management Policy, Objectives and Procedures, as well as direct and monitor implementation, practice and performance.

Every employee within the Shire is recognised as having a role in risk management, from the identification of risks, to implementing risk treatments and shall be invited and encouraged to participate in the process.

Consultants may be retained at times to advise and assist in the risk management process or management of specific risks or categories of risk.

All organizational risks to be reported at a corporate level are to be assessed according to the Shire"s Risk Assessment and Acceptance Criteria to allow consistency and informed decision making. For operational requirements such as projects or to satisfy external stakeholder requirements, alternative risk assessment criteria may be utilised, however these cannot exceed the organisations appetite and are to be noted within the individual risk assessment.

The Shire will implement and integrate a monitor and review process to report on the achievement of the Risk Management Objectives, the management of individual risks and the ongoing identification of issues and trends
.
Disability must not automatically be deemed to present a risk issue.

Where concerns of risk occur due to disability these concerns must be investigated with the employee involved. The employee, at the commencement or during this process may request that an advocate be involved to assist them in responding to the concerns.

In the event of an identified risk, reasonable adjustments shall be considered and if required on going management shall be applied.

This policy will be kept under review by the Shire's Management Team and its employees. It will be formally reviewed biennially.

Responsibility:

The CEO is responsible for the allocation of roles, responsibilities and accountabilities. These are documented in the Risk Management Procedures (Operational Document).

Shire of Goomalling Risk Report - September 2014

Misconduct
	Risk	Control
	Low	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
No current actions required		

Business Disruption
	Risk	Control
	Low	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
Develop a Business Continuity Program	Dec-15	Nat & Trudi

Damage to Physical Assets
	Risk	Control
	Low	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
No current actions required		

Errors, Ommissions & Delays
	Risk	Control
	Low	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
Ensure Complaints register is utilised properly	Dec-14	Natalie, Trudi, Linton

External Theft & Fraud (inc. Cyber Crime)
	Risk	Control
	Low	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
No current actions required		

Failure of IT &/or Communications Systems and Infrastructure
	Risk	Control
	Low	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
Window XP no longer supported, IT contractors are looking into upgrade required	November	Natalie
Server Revitalisation (hardware replacement & data back up solution)	Jun-15	Natalie

Failure to fulfil statutory, regulatory or compliance requirements
	Risk	Control
	Low	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
Review compliance framework	Dec-14	Trudi

Inadequate safety and security practices
	Risk	Control
	Moderate	Effective

Current Issues / Actions / Treatments	Due Date	Responsibility
No current actions required		

Providing inaccurate advice / information
	Risk	Control
	Low	Effective

Current Issues / Actions / Treatments	Due Date	Responsibility
No current actions required		

Inadequate Organisation and Community Emergency Management
	Risk	Control
	Moderate	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
No current actions required		

Inadequate Document Management Processes
	Risk	Control
	Moderate	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
Creating and cataloguing storage facility	Jun-15	Tahnee/CEO
Update records management Process	Jun-15	Tahnee

Inadequate Project / Change Management
	Risk	Control
	#N/A	Not Rated

Current Issues / Actions / Treatments	Due Date	Responsibility
No current actions required		

Inadequate engagement with Community / Stakeholders / Elected Members
	Risk	Control
	Moderate	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
Issue complete biennial survey 2014	Dec-15	CDO

Inadequate Procurement, Disposal or Tender Practices.
	Risk	Control
	Low	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
Review policy on purchasing process	Aug-15	Natalie & Trudi

Inadequate Asset Sustainability Practices
	Risk	Control
	Low	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
Planned Building Maintenance	Dec-14	Linton/Chris

Inadequate Stock Management
	Risk	Control
	Low	Effective

Current Issues / Actions / Treatments	Due Date	Responsibility
No current actions required		

Inadequate Supplier / Contract Management
	Risk	Control
	Low	Effective

Current Issues / Actions / Treatments	Due Date	Responsibility
Develop of a Contract Management Register	Jun-15	EHO/CEO
Review internal process to capture mis-service issues with Contractors	Jun-15	CEO

Ineffective People Management / Employment Practices
	Risk	Control
	Moderate	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
Review Training Needs Analysis & Training Register	Jun-15	Nat & Trudi
Complete Workforce Plan (Succession Planning Component)	Jun-15	CEO
Review Performance Review Process	Jun-15	CEO

Inadequate Environment Management
	Risk	Control
	Low	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
Update Landfill /Waste Management Plan	Jun-15	Linton

Not meeting Community expectations
	Risk	Control
	Low	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
Implementing Complaints register & Process	Dec-14	Renee/ Chloe
Develop Youth Strategy	Ongoing	Tahnee
Developing Biennial Customer Satisfaction Survey	Dec-15	CDO

Ineffective Management of Facilities / Venues / Events
	Risk	Control
	Low	Adequate

Current Issues / Actions / Treatments	Due Date	Responsibility
Write up procedures in place	Jun-15	Nat & Trudi
Prepare Booking Application	Nov-14	Renee/Chloe
Develop a Community Facilities Plan	Jun-15	Jo

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