

# BARCALDINE REGIONAL COUNCIL CORPORATE RISK REGISTER

No.	Risk	Possible Causes	Consequences	Existing Risk Treatments [and effectiveness rating] [x] indicates not yet fully implemented	Effective- ness of controls	Conse- quence Level	Likeli- hood	Overall Risk Rating
CR1	Failure of ICT systems and/or loss of electronic data	<ul style="list-style-type: none"> <li>Security breach</li> <li>Natural disaster</li> <li>System failure</li> <li>Human error</li> <li>Environmental issue</li> <li>Failure of back-up facilities</li> <li>Closure or collapse of ICT provider</li> </ul>	<ul style="list-style-type: none"> <li>Failure to pay staff and contractors</li> <li>Inability to generate income via invoices</li> <li>Potential legal implications</li> <li>Inability to enforce legislation</li> <li>Reduction in the efficiency of customer service</li> <li>Financial impact of reacquiring data</li> <li>Failure to demonstrate compliance with legislative requirements</li> </ul>	<ul style="list-style-type: none"> <li>Good backup/restoration strategies and procedures</li> <li>User authentication</li> <li>Firewalling of system</li> <li>Effectiveness of ICT Policy</li> <li>UPS</li> <li>Secure controlled environment</li> <li>Ensure that backup procedures are followed</li> <li>Maintain managed services contract</li> <li>Maintain strong relationship with ICT provider</li> </ul>	Good	4 Major	1 Rare	M
CR2	Insufficient skilled key staff to enable quality services to be consistently delivered	<ul style="list-style-type: none"> <li>Lack of skilled staff available in the general workforce</li> <li>External employment environment making attraction and retention of staff difficult</li> <li>Lack of quality, affordable housing</li> <li>Declining population</li> <li>Lack of structured training</li> <li>Lack of succession planning</li> <li>Lack of reward and recognition</li> <li>Continual high workloads on staff</li> <li>Poor employment reputation</li> </ul>	<ul style="list-style-type: none"> <li>Continual high workloads on staff</li> <li>Potential non-compliance with legislation</li> <li>Lack of job satisfaction</li> <li>Transient workforce</li> <li>Reduced morale and productivity</li> <li>Potential non-compliance with duty of care</li> <li>Loss of image/reputation</li> <li>Financial loss through rework and inefficiency</li> <li>Revenue opportunities forgone</li> <li>Loss of opportunity for economic development</li> </ul>	<ul style="list-style-type: none"> <li>Employee rental assistance</li> <li>Relocation assistance</li> <li>Educational assistance and opportunities for professional development</li> <li>Employer branding</li> <li>Salary sacrificing and other benefits</li> <li>Flexible work arrangements</li> <li>Develop comprehensive Human Resources policies and procedures</li> <li>Develop a shared corporate vision, values and culture for the Senior Management Team to implement</li> <li>Continually review resources and undertake a structured job analysis</li> <li>Undertake a skills audit</li> <li>Undertake a training needs analysis and prepare an annual Training Calendar</li> <li>Develop a traineeship program</li> </ul>		3 Moderate	3 Possible	H
CR3	Sudden loss of a major Council facility	<ul style="list-style-type: none"> <li>Natural disaster</li> <li>Specific unintentional event</li> <li>Specific intentional or deliberate event</li> <li>Political decision</li> <li>Insufficient security</li> </ul>	<ul style="list-style-type: none"> <li>Inability to deliver one or more services</li> <li>Financial impact of rehabilitation</li> <li>Serious injury or harm to staff and/or general public</li> <li>General widespread adverse</li> </ul>	<ul style="list-style-type: none"> <li>Existing security measures in place</li> <li>General and public liability insurance</li> <li>Regular quality testing (water)</li> <li>Disaster Management Plan</li> <li>Undertake risk assessment of facilities (incorporating asset condition)</li> </ul>		4 Major	1 Rare	M

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		measures	impact on health • Legal/litigation implications	• Identify means to assess additional sites for relocation suitability				
CR4	Poor health, safety and wellbeing of staff	<ul style="list-style-type: none"> <li>Lack of understanding of WH&amp;S requirements</li> <li>Lack of support from management</li> <li>Low job satisfaction impacting on employee attitude to care for their own WH&amp;S</li> <li>Failure to monitor/enforce drug and alcohol policy</li> <li>Lack of communication</li> <li>Lack of training</li> <li>Failure to provide adequate work environment that meets legislative requirements and employee expectations</li> <li>Lack of consequences for non-compliance with legal obligations</li> <li>Lack of building security</li> </ul>	<ul style="list-style-type: none"> <li>Increased sick leave/staff absences and staff turnover</li> <li>Decreased performance and increased performance management issues</li> <li>Higher rate of accidents or injury or fatalities</li> <li>Potential legal claims</li> <li>Financial loss</li> <li>Negative impact on Council's reputation as an employer</li> <li>External investigations</li> </ul>	<ul style="list-style-type: none"> <li>WH&amp;S System and Safeplan</li> <li>WH&amp;S inductions</li> <li>Toolbox talks and team meetings</li> <li>External safety audits</li> <li>Monitoring of sick leave</li> <li>WH&amp;S Committee meetings</li> <li>Vaccination policy</li> <li>Rehabilitation process</li> <li>Undertake a review of the Workplace Health and Safety function within Council</li> <li>Develop a Workplace Drug and Alcohol Policy</li> <li>Develop a Corporate Communication Strategy to improve internal and external communication</li> </ul>		3 Moderate	3 Possible	H
CR5	Council decisions adversely impacting on Council operations	<ul style="list-style-type: none"> <li>Councillor pecuniary interests</li> <li>Localised approach to decisions rather than wider community approach</li> <li>Poor advice from management reporting to Council</li> <li>Unclear roles and responsibilities</li> <li>Direct political involvement in operations</li> </ul>	<ul style="list-style-type: none"> <li>Financial loss</li> <li>Negative impact on public image</li> <li>Reduced staff morale/satisfaction</li> <li>Legal action</li> <li>Improper utilisation of resources</li> <li>Potential non-compliance with legislation</li> <li>Ministerial intervention</li> <li>Administrator appointed</li> </ul>	<ul style="list-style-type: none"> <li>Councillor/employee interaction protocol</li> <li>Councillor Code of Conduct</li> <li>Employee Code of Conduct</li> <li>Education and training</li> <li>Regular meetings with Councillors</li> <li>Develop and implement standard Council report template</li> <li>Review operational plan regularly</li> <li>Provide regular advice to Councillors on relevant training opportunities</li> <li>Regular visits from the LGAQ organised for Councillors</li> <li>Ensure the Council agendas are complete and distributed to Councillors 4 days prior to Council meeting day</li> </ul>		2 Minor	3 Possible	M
CR6	Significant reduction	<ul style="list-style-type: none"> <li>Open tender introduced for TMR works</li> </ul>	<ul style="list-style-type: none"> <li>Reduced ability to provide services</li> </ul>	<ul style="list-style-type: none"> <li>Maintain strong relationships with Dept of Transport and Main Roads</li> </ul>		5 Catastro	3 Possible	H

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	in Council income	<ul style="list-style-type: none"> <li>Impacts from changes in State or Federal Government funding models</li> </ul>	<ul style="list-style-type: none"> <li>Reduced ability to support staff</li> <li>Reduced ability to maintain assets</li> </ul>	<ul style="list-style-type: none"> <li>Maintain political pressure to support local government</li> </ul>		phic		
CR7	Inability to maintain Council as a going concern	<ul style="list-style-type: none"> <li>Political interference</li> <li>Loss of major contracts</li> <li>Significant increase in operational costs</li> <li>Static/declining revenue base</li> <li>Poor financial management</li> <li>Declining natural resources</li> <li>Declining economic base</li> </ul>	<ul style="list-style-type: none"> <li>Political intervention by a higher authority</li> <li>Loss of public confidence</li> <li>Decline in service delivery</li> <li>Significant financial loss</li> <li>Decline in staff morale</li> <li>Closure of facilities leading to loss of population</li> </ul>	<ul style="list-style-type: none"> <li>Sound corporate governance policies</li> <li>Sound financial management practices including rigorous audits</li> <li>Recruitment of skilled and professional staff</li> <li>Meeting legislative requirements</li> <li>Sound strategic planning</li> <li>Develop a 10 year financial management plan in conjunction with a sound long term asset management plan</li> <li>Adequate professional development and training</li> <li>Ensure the annual budget is balanced</li> </ul>		5 Catas- trophic	1 Rare	H
CR8	Non-compliance with legislative requirements impacting on the ability to deliver services	<ul style="list-style-type: none"> <li>Insufficient funding</li> <li>Lack of recognition from Councillors or managers for the need to comply</li> <li>Lack of enforcement from regulatory bodies</li> <li>Lack of time for staff to devote to compliance regulatory issues</li> <li>Lack of skilled staff with knowledge of the legislative requirements</li> <li>Insufficient processes to capture updates in legislation</li> <li>Low job satisfaction over inequities and consistencies</li> <li>Failure to comply with legislative policies and procedures</li> <li>Council decision to not comply</li> </ul>	<ul style="list-style-type: none"> <li>Loss of potential revenue</li> <li>Penalties and fines leading to closure of facilities that fail to comply</li> <li>Loss of public confidence</li> <li>Injuries/accidents/ fatalities to staff and/or community</li> <li>Environmental damage which could also lead to health impacts</li> <li>Investigations from regulatory bodies</li> <li>Reduction in Council's workforce</li> </ul>	<ul style="list-style-type: none"> <li>Support from external bodies to keep Council abreast of legal developments e.g. LGAQ</li> <li>Council policies, procedures and systems</li> <li>Access to professional legal advice</li> <li>Access to current legislation</li> <li>External audits</li> <li>Training and professional development</li> </ul>		3 Moderate	2 Unlikely	M

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CR9	Harm caused o the public from Council facilities, services or operations	<ul style="list-style-type: none"> <li>• Failure of Council's drinking water supply</li> <li>• Poor or no licencing of food premises</li> <li>• Lack of animal control</li> <li>• Employee carelessness or apathy</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Negative press</li> <li>• Lack of public confidence</li> <li>• Misinformation fostering wrong impression</li> <li>• Increased gaps in service delivery accurately meeting community expectations</li> <li>• Greater use of informal communication channels eg. grapevine</li> <li>• Low staff morale and feelings of exclusion</li> <li>• Inefficiencies in service delivery</li> </ul>	<ul style="list-style-type: none"> <li>• Role of Cultural and Council Promotions Officer</li> <li>• Employee Newsletter</li> <li>• Staff Meetings and Toolbox Meetings</li> <li>• External newsletter – Focus</li> <li>• Press Release Procedure</li> <li>• Council presence at local shows, shopping centres, careers market eg. Local Government Week</li> <li>• New Ratepayer Pack</li> <li>• Scheduled CEO visits to Council workplaces</li> <li>• Implement where appropriate training for staff involved in the production of media and promotional material [</li> <li>• at regular intervals</li> </ul>		2 Minor	2 Unlikely	L
CR10	Inability of Council's existing infrastructure to meet ongoing community needs	<ul style="list-style-type: none"> <li>• Poor asset management practices including capital replacement and maintenance schedules</li> <li>• Long term failure to fund depreciation</li> <li>• Poor identification of unnecessary or unrealistic community expectations</li> <li>• Mining development creating demands in excess of Council's resources</li> </ul>	<ul style="list-style-type: none"> <li>• Injury to general public and staff</li> <li>• Decreased community confidence in Council</li> <li>• Increased unnecessary maintenance costs</li> <li>• Major interruptions to essential services</li> <li>• Serious breach of legal or contractual obligations</li> <li>• Serious environmental impacts</li> </ul>	<ul style="list-style-type: none"> <li>• Development of sound asset management practices</li> <li>• Implementation of sound financial management practices</li> <li>• Implementation and review of existing road maintenance strategy</li> <li>• Compliance with the TMP for water and sewerage</li> <li>• Rationalisation of Council's assets</li> </ul>		4 Major	1 Rare	M
CR11	Environmental harm caused by Council facilities or operations	<ul style="list-style-type: none"> <li>• Failure of sewerage treatment works</li> <li>• Roadworks causing major erosion</li> <li>• Poor weed control measures for vehicles</li> <li>• Waste Management sites not controlled</li> <li>• Staff apathy</li> <li>• Lack of knowledge</li> </ul>	<ul style="list-style-type: none"> <li>• Adverse community reaction</li> <li>• Potential adverse on funding</li> <li>• Reputation loss</li> </ul>	<ul style="list-style-type: none"> <li>• Robust Asset Management Plans including maintenance schedules</li> <li>• Washdown bays</li> <li>• Road construction in accordance with plans</li> <li>• Regular servicing of waste management sites</li> </ul>		3 Moderate	3 Possible	M

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CR12	Council has not adequately planned for the predicted impacts of climate change	<ul style="list-style-type: none"> <li>• Insufficient reliable information</li> <li>• Perception that it will not happen</li> </ul>	<ul style="list-style-type: none"> <li>• Cost premium for having to adjust</li> <li>• Lack of sustainability</li> </ul>	<ul style="list-style-type: none"> <li>• Nil</li> </ul>		2 Minor	3 Possible	M48