



AUDIT COMMITTEE MEETING

AGENDA

24 FEBRUARY 2015

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CITY OF GREATER GERALDTON

**AUDIT COMMITTEE MEETING
ON TUESDAY 6 OCTOBER 2015 AT 3.30PM
IN THE COMMITTEE MEETING ROOM – CIVIC CENTRE**

A G E N D A

1. DECLARATION OF OPENING

2. ATTENDANCE

Present:

Officers:

By Invitation:

Apologies: Ken Diehm

Leave of Absence:

3. CONFIRMATION OF PREVIOUS MINUTES

Recommendation: That the minutes of the City of Greater Geraldton Audit Committee meeting held on 25 November 2014, as attached be accepted as a true and correct record of proceedings.

4 AC036 COMPLIANCE AUDIT RETURN 2014

5 AC037 STATUS OF CITY RISK MANAGEMENT ACTIVITIES

6 MEETING CLOSURE

4. AC036 COMPLIANCE AUDIT REVIEW

AC036	COMPLIANCE AUDIT REVIEW
AGENDA REFERENCE:	D-15-07537
AUTHOR:	M Adam, Executive Assistant
EXECUTIVE:	B Davis , Director Corporate & Commercial Services
DATE OF REPORT:	12 February 2015
FILE REFERENCE:	GO/11/0020
APPLICANT / PROPONENT:	City of Greater Geraldton
ATTACHMENTS:	Yes X 1

EXECUTIVE SUMMARY:

The purpose of this report is to review the Compliance Audit Return 2014 (CAR).

Amendments to Regulation 14 of the *Local Government (Audit) Regulations 1996* requires that the Audit Committee now reviews the Compliance Audit Return and reports the results of that review to Council prior to adoption by Council and submission to the Department of Local Government by 31 March 2015.

EXECUTIVE RECOMMENDATION;

That the Audit Committee by Simple Majority pursuant to Section 7.13(1) of the Local Government Act RESOLVES to:

1. ENDORSE the results of the Compliance Audit Return 2014.
2. REPORT the results of the Compliance Audit Return 2014 to Council at the Ordinary meeting to be held on 24 March 2015

PROPONENT:

The proponent is the City of Greater Geraldton.

BACKGROUND:

In accordance with section 7.13(1) of the Local Government Act 1995 and the Local Government (Audit) Regulations, the City is required to complete a compliance audit in relation to the period 1 January 2014 to 31 December 2014 against the requirements set out in the CAR.

The 2014 CAR continues in a reduced format, with the areas of compliance included restricted to those considered high risk.

ECONOMIC, SOCIAL, ENVIRONMENTAL & CULTURAL ISSUES:**Economic:**

There are no economic impacts.

Social:

There are no social impacts.

Environmental:

There are no environmental impacts.

Cultural & Heritage:

There are no cultural or heritage impacts.

RELEVANT PRECEDENTS:

There are no relevant precedents.

COMMUNITY/COUNCILLOR CONSULTATION:

There is no requirement for councillor / community consultation on this matter.

LEGISLATIVE/POLICY IMPLICATIONS:

As per section 7.13(1) of the Local Government Act 1995 and the Local Government (Audit) Regulations 1996.

FINANCIAL AND RESOURCE IMPLICATIONS:

There are no financial or resource implications.

INTEGRATED PLANNING LINKS:

Title: Governance	Planning and Policy
Strategy 5.2.7	Ensuring efficient and effective deliver of service

REGIONAL OUTCOMES:

There are no impacts to regional outcomes.

RISK MANAGEMENT

The CAR is a statutory compliance requirement for local governments and requires a review first by the Audit Committee and then a report to Council for adoption before being submitted to the Department of Local Government. The City is required to provide this to the Department prior to 31 March 2014.

The Audit Committee does not have the option not to review the CAR as it would therefore be non-compliant with the Local Government Act and associated regulations.

ALTERNATIVE OPTIONS CONSIDERED BY CITY OFFICERS

No alternative options were considered by City Officers.



Greater Geraldton - Compliance Audit Return 2014

Commercial Enterprises by Local Governments					
No	Reference	Question	Response	Comments	Respondent
1	s3.59(2)(a)(b)(c) F&G Reg 7,9	Has the local government prepared a business plan for each major trading undertaking in 2014.	N/A	The City has no existing trading undertakings with expenditure exceeding the amount prescribed in LG(F&G) Reg'n 9 and no new undertakings were commenced in 2014.	Bob Davis
2	s3.59(2)(a)(b)(c) F&G Reg 7,10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2014.	N/A	No such major land transactions were initiated in 2014.	Bob Davis
3	s3.59(2)(a)(b)(c) F&G Reg 7,10	Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in 2014.	N/A	No such land transactions were initiated in 2014.	Bob Davis
4	s3.59(4)	Has the local government given Statewide public notice of each proposal to commence a major trading undertaking or enter into a major land transaction for 2014.	N/A	No new major trading undertakings or major land transactions were commenced in 2014.	Bob Davis
5	s3.59(5)	Did the Council, during 2014, resolve to proceed with each major land transaction or trading undertaking by absolute majority.	N/A	No new major land transactions or major trading undertakings were initiated in 2014.	Bob Davis

Delegation of Power / Duty					
No	Reference	Question	Response	Comments	Respondent
1	s5.16, 5.17, 5.18	Were all delegations to committees resolved by absolute majority.	N/A	There are no delegations to Committees	Sheri Moulds
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing.	N/A		Sheri Moulds
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17.	N/A		Sheri Moulds
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations.	N/A		Sheri Moulds
5	s5.18	Has Council reviewed delegations to its committees in the 2013/2014 financial year.	N/A		Sheri Moulds
6	s5.42(1),5.43 Admin Reg 18G	Did the powers and duties of the Council delegated to the CEO exclude those as listed in section 5.43 of the Act.	Yes		Jeff Graham
7	s5.42(1)(2) Admin	Were all delegations to the CEO	Yes		Jeff Graham



	Reg 18G		resolved by an absolute majority.			
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing.	Yes			Jeff Graham
9	s5.44(2)	Were all delegations by the CEO to any employee in writing.	Yes			Jeff Graham
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority.	N/A	There was no decision to amend or revoke a delegation made		Jeff Graham
11	s5.46(1)	Has the CEO kept a register of all delegations made under the Act to him and to other employees.	Yes			Jeff Graham
12	s5.46(2)	Were all delegations made under Division 4 of Part 5 of the Act reviewed by the delegator at least once during the 2013/2014 financial year.	Yes			Jeff Graham
13	s5.46(3) Admin Reg 19	Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record as required.	Yes			Jeff Graham

Disclosure of Interest

No	Reference	Question	Response	Comments	Respondent
1	s5.67	If a member disclosed an interest, did he/she ensure that they did not remain present to participate in any discussion or decision-making procedure relating to the matter in which the interest was disclosed (not including participation approvals granted under s5.68).	Yes		Sheri Moulds
2	s5.68(2)	Were all decisions made under section 5.68(1), and the extent of participation allowed, recorded in the minutes of Council and Committee meetings.	Yes		Sheri Moulds
3	s5.73	Were disclosures under section 5.65 or 5.70 recorded in the minutes of the meeting at which the disclosure was made.	Yes		Sheri Moulds
4	s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly elected members within three months of their start day.	Yes		Margot Adam
5	s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly designated employees within three months of their start day.	No	Two employees were not issued with the appropriate forms within three months of their start date due to administrative error. This was rectified and the return completed.	Margot Adam
6	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2014.	Yes		Margot Adam
7	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2014.	No	One employee was not issued with the appropriate forms due	Margot Adam



					to administrative error (see 5 above) as the Primary Return was not completed prior to 31 August 2013.
8	s5.77		On receipt of a primary or annual return, did the CEO, (or the Mayor/ President in the case of the CEO's return) on all occasions, give written acknowledgment of having received the return.	Yes	Margot Adam
9	s5.88(1)(2) Admin Reg 28		Did the CEO keep a register of financial interests which contained the returns lodged under section 5.75 and 5.76	Yes	Margot Adam
10	s5.88(1)(2) Admin Reg 28		Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70 and 5.71, in the form prescribed in Administration Regulation 28.	Yes	Sheri Moulds
11	s5.88 (3)		Has the CEO removed all returns from the register when a person ceased to be a person required to lodge a return under section 5.75 or 5.76.	Yes	Margot Adam
12	s5.88(4)		Have all returns lodged under section 5.75 or 5.76 and removed from the register, been kept for a period of at least five years, after the person who lodged the return ceased to be a council member or designated employee.	Yes	Margot Adam
13	s5.103 Admin Reg 34C & Rules of Conduct Reg 11		Where an elected member or an employee disclosed an interest in a matter discussed at a Council or committee meeting where there was a reasonable belief that the impartiality of the person having the interest would be adversely affected, was it recorded in the minutes.	Yes	Sheri Moulds
14	s5.70(2)		Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to the Council or a Committee, did that person disclose the nature of that interest when giving the advice or report.	Yes	Sheri Moulds
15	s5.70(3)		Where an employee disclosed an interest under s5.70(2), did that person also disclose the extent of that interest when required to do so by the Council or a Committee.	Yes	Sheri Moulds
16	s5.103(3) Admin Reg 34B		Has the CEO kept a register of all notifiable gifts received by Council members and employees.	Yes	Margot Adam



Disposal of Property					
No	Reference	Question	Response	Comments	Respondent
1	s3.58(3)	Was local public notice given prior to disposal for any property not disposed of by public auction or tender (except where excluded by Section 3.58(5)).	Yes	Complied with in accordance with requirements.	Brian Robartson
2	s3.58(4)	Where the local government disposed of property under section 3.58(3), did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property.	Yes	Complied with in accordance with requirements.	Brian Robartson

Elections					
No	Reference	Question	Response	Comments	Respondent
1	Elect Reg 30G (1)	Did the CEO establish and maintain an electoral gift register and ensure that all 'disclosure of gifts' forms completed by candidates and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the candidates.	Yes	A register is maintained however there were no disclosure of gift forms received.	Margot Adam

Finance					
No	Reference	Question	Response	Comments	Respondent
1	s7.1A	Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Act.	Yes		Paul Radalj
2	s7.1B	Where a local government determined to delegate to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority.	N/A	The Audit Committee has no delegated powers under Part 7 of the Act	Paul Radalj
3	s7.3	Was the person(s) appointed by the local government to be its auditor, a registered company auditor.	Yes		Paul Radalj
4	s7.3	Was the person(s) appointed by the local government to be its auditor, an approved auditor.	Yes		Paul Radalj
5	s7.3, 7.6(3)	Was the person or persons appointed by the local government to be its auditor, appointed by an absolute majority decision of Council.	Yes		Paul Radalj
6	Audit Reg 10	Was the Auditor's report for the financial year ended 30 June 2014 received by the local government within 30 days of completion of the audit.	Yes		Paul Radalj
7	s7.9(1)	Was the Auditor's report for	Yes		Paul Radalj



		2013/2014 received by the local government by 31 December 2014.			
8	S7.12A(3), (4)	Where the local government determined that matters raised in the auditor's report prepared under s7.9(1) of the Act required action to be taken by the local government, was that action undertaken.	N/A	No matters raised in the auditors report prepared under s7.9(1) of the Act required action to be taken	Paul Radalj
9	S7.12A(3), (4)	Where the local government determined that matters raised in the auditor's report (prepared under s7.9(1) of the Act) required action to be taken by the local government, was a report prepared on any actions undertaken.	N/A		Paul Radalj
10	S7.12A(3), (4)	Where the local government determined that matters raised in the auditor's report (prepared under s7.9(1) of the Act) required action to be taken by the local government, was a copy of the report forwarded to the Minister by the end of the financial year or 6 months after the last report prepared under s7.9 was received by the local government whichever was the latest in time.	N/A		Paul Radalj
11	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit.	Yes		Paul Radalj
12	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit.	Yes		Paul Radalj
13	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit.	Yes		Paul Radalj
14	Audit Reg 7	Did the agreement between the local government and its auditor include details of the remuneration and expenses to be paid to the auditor.	Yes		Paul Radalj
15	Audit Reg 7	Did the agreement between the local government and its auditor include the method to be used by the local government to communicate with, and supply information to, the auditor.	Yes		Paul Radalj

Local Government Employees

No	Reference	Question	Response	Comments	Respondent
1	Admin Reg 18C	Did the local government approve the process to be used for the selection and appointment of the CEO before the position of CEO was advertised.	Yes	There was no appointment of a CEO in this return period.	Jeff Graham
2	s5.36(4) s5.37(3), Admin Reg 18A	Were all vacancies for the position of CEO and other designated senior employees advertised and did the advertising comply with s.5.36(4), 5.37(3) and Admin Reg 18A.	Yes		Jeff Graham
3	Admin Reg 18F	Was the remuneration and other	Yes		Jeff Graham



		benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position of CEO under section 5.36(4).			
4	Admin Regs 18E	Did the local government ensure checks were carried out to confirm that the information in an application for employment was true (applicable to CEO only).	Yes		Jeff Graham
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.	N/A	There are no designated employees	Jeff Graham

Official Conduct					
No	Reference	Question	Response	Comments	Respondent
1	s5.120	Where the CEO is not the complaints officer, has the local government designated a senior employee, as defined under s5.37, to be its complaints officer.	N/A	The CEO is the complaints officer.	Sheri Moulds
2	s5.121(1)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that result in action under s5.110(6)(b) or (c).	Yes		Sheri Moulds
3	s5.121(2)(a)	Does the complaints register maintained by the complaints officer include provision for recording of the name of the council member about whom the complaint is made.	Yes		Sheri Moulds
4	s5.121(2)(b)	Does the complaints register maintained by the complaints officer include provision for recording the name of the person who makes the complaint.	Yes		Sheri Moulds
5	s5.121(2)(c)	Does the complaints register maintained by the complaints officer include provision for recording a description of the minor breach that the standards panel finds has occurred.	Yes		Sheri Moulds
6	s5.121(2)(d)	Does the complaints register maintained by the complaints officer include the provision to record details of the action taken under s5.110(6)(b)(c).	Yes		Sheri Moulds



Tenders for Providing Goods and Services					
No	Reference	Question	Response	Comments	Respondent
1	s3.57 F&G Reg 11	Did the local government invite tenders on all occasions (before entering into contracts for the supply of goods or services) where the consideration under the contract was, or was expected to be, worth more than the consideration stated in Regulation 11(1) of the Local Government (Functions & General) Regulations (Subject to Functions and General Regulation 11(2)).	No	One contract was for less than the consideration stated in regulation 11(1) and minor procurement procedures were used. Variations due to unexpected events increased the contract figure above the consideration in Reg 11(1) after the contract was awarded.	Brodie Pearce
2	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than inviting tenders for a single contract.	Yes		Brodie Pearce
3	F&G Reg 14(1)	Did the local government invite tenders via Statewide public notice.	Yes		Brodie Pearce
4	F&G Reg 14, 15 & 16	Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16.	Yes		Brodie Pearce
5	F&G Reg 14(5)	If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer, notice of the variation.	Yes		Brodie Pearce
6	F&G Reg 18(1)	Did the local government reject the tenders that were not submitted at the place, and within the time specified in the invitation to tender.	Yes		Brodie Pearce
7	F&G Reg 18 (4)	In relation to the tenders that were not rejected, did the local government assess which tender to accept and which tender was most advantageous to the local government to accept, by means of written evaluation criteria.	No	Assessment on one tender was not initially made in accordance with the written evaluation criteria. The assessment process has been reviewed and additional control measures implemented to ensure future assessment against written evaluation criteria.	Brodie Pearce
8	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of F&G Reg 17.	Yes		Brodie Pearce
9	F&G Reg 19	Was each tenderer sent written notice advising particulars of the successful tender or advising that no tender was accepted.	Yes		Brodie Pearce
10	F&G Reg 21 & 22	Did the local governments' advertising and expression of interest	Yes		Brodie Pearce



		documentation comply with the requirements of F&G Regs 21 and 22.		
11	F&G Reg 23(1)	Did the local government reject the expressions of interest that were not submitted at the place and within the time specified in the notice.	Yes	Brodie Pearce
12	F&G Reg 23(4)	After the local government considered expressions of interest, did the CEO list each person considered capable of satisfactorily supplying goods or services.	Yes	Brodie Pearce
13	F&G Reg 24	Was each person who submitted an expression of interest, given a notice in writing in accordance with Functions & General Regulation 24.	Yes	Brodie Pearce
14	F&G Reg 24E	Where the local government gave a regional price preference in relation to a tender process, did the local government comply with the requirements of F&G Reg 24E in relation to the preparation of a regional price preference policy (only if a policy had not been previously adopted by Council).	Yes	Brodie Pearce
15	F&G Reg 11A	Does the local government have a current purchasing policy in relation to contracts for other persons to supply goods or services where the consideration under the contract is, or is expected to be, \$100,000 or less.	Yes	Brodie Pearce



5. AC STATUS OF CITY OF GREATER GERALDTON OPERATIONAL RISK MANAGEMENT SYSTEMS AND ACTIVITIES

AC037	STATUS OF CITY RISK MANAGEMENT ACTIVITIES
AGENDA REFERENCE:	D-15-08322
AUTHOR:	B Pearce, Senior Risk Advisor
EXECUTIVE:	B Davis, Director Department of Corporate and Commercial Services
DATE OF REPORT:	12 FEBRUARY 2015
FILE REFERENCE:	RM/1/0003
APPLICANT / PROPONENT:	City of Greater Geraldton
ATTACHMENTS:	Yes x2

EXECUTIVE SUMMARY:

The purpose of this report is to provide an overview of the current and planned risk management activities for implementation by the City of Greater Geraldton (City), incorporating: The activities of the City's Risk Management Committee: Status of the Organisational Risk Management Project (ORM):and the Status of the City Business Continuity Management (BCM):

EXECUTIVE RECOMMENDATION;

That the Audit Committee by Simple Majority pursuant to Section 7.1C of the Local Government Act RESOLVES to:

1. NOTE the City of Greater Geraldton's status with regards to;
 - a. The progress of the Organisational Risk Management Project.
 - b. The progress of the City Business Continuity Management.

PROponent:

The proponent is the City of Greater Geraldton.

BACKGROUND:

RISK MANAGEMENT COMMITTEE

The City Risk Management Committee has not reconvened since the Audit Committee meeting held on 25 November 2014 due to the end of year commitments of City Managers.

A Risk Management Committee meeting is scheduled to be held during second week of March 2015.

ORGANISATIONAL RISK MANAGEMENT PROJECT

Subsequent to the previous Audit Committee Meeting (25 November 2014), the City has completed a review of the effectiveness of the City's current Risk Management Framework. The outcome of the review is the development of the attached Draft Risk Management Framework. The Framework has been issued for a consultation period to all managers and affected key stakeholders and is expected to be endorsed by the Executive Management Team (EMT)

in late February or early March 2015. Following endorsement Manager briefing sessions will be conducted to ensure the effective roll out of the new Risk Management Framework.

CITY BUSINESS CONTINUITY MANAGEMENT (BCM)

During the period from the end of November 2014 to current the City completed the final development workshops of the City BCM plan. The draft BCM plan has been developed to work in conjunction with the existing City Emergency Procedures and the broader Local Emergency Management Arrangements. The BCM plan has been developed to provide a structured response to bringing City key services back to an acceptable predefined level of service, and does not take the place of Local Emergency Management Arrangements.

The Draft Crisis Management & Business Continuity Response Plan has been issued to EMT for final review in preparation for the scheduled BCM exercise scheduled for the 6th March 2015. At the conclusion of the exercise a review of the BCM Plan shall be undertaken to ensure its content is relevant, useable and that nothing was missed. The City shall from this point on undertake an annual review and exercise of the BCM Plan to ensure its currencies and effectiveness.

The City once the main BCM Plan is in place shall commence development of BCM plans for key City satellite sites not covered in the main BCM plan. This broader BCM development phase is expected to be completed by July 2015.

ECONOMIC, SOCIAL, ENVIRONMENTAL & CULTURAL ISSUES:

Economic:

There are no economic impacts.

Social:

There are no social impacts.

Environmental:

There are no environmental impacts.

Cultural & Heritage:

There are no cultural or heritage impacts.

RELEVANT PRECEDENTS:

There are no relevant precedents.

COMMUNITY/COUNCILLOR CONSULTATION:

There has been no community/councillor consultation.

LEGISLATIVE/POLICY IMPLICATIONS:

Local Government (Audit) Amendment Regulations 2013 Regulation 17

FINANCIAL AND RESOURCE IMPLICATIONS:

There are no financial or resource implications.

INTEGRATED PLANNING LINKS:

Title: Governance	Planning and Policy
Strategy 5.2.7	Ensuring efficient and effective delivery of service

REGIONAL OUTCOMES:

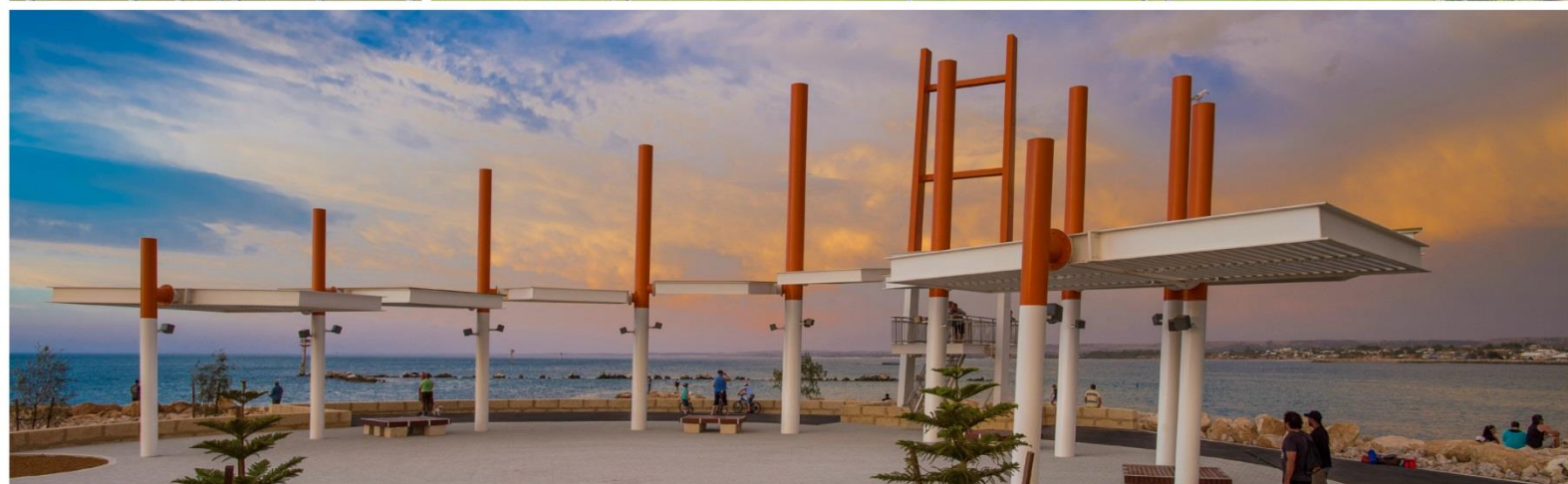
There are no impacts to regional outcomes.

RISK MANAGEMENT

The purpose of this item is primarily associated with the development and implementation of effect risk management systems throughout the City. Should the City fail to successfully undertake the above mentioned activities the City will not be able to adequately meet its obligations with regards to risk management.

ALTERNATIVE OPTIONS CONSIDERED

No alternatives have been considered, as risk management systems are a regulatory requirement, and this process will deliver the necessary plans and action frameworks for compliance.



Risk Management Framework

Operational Policy OP005 Risk Management Framework			
Officer	Manager Corporate Services	Owner	Director Corporate & Commercial Services
Review frequency	Biennially	Next review	2017
Registered with G&R	Governance & Risk Use Only		
Chief Executive Officer		Date	

Objectives

The purpose of the City Risk Management Framework is to provide details of the structure and processes supporting the Council Risk Management Policy.

Scope

This policy covers all the operations of the City of Greater Geraldton.

Definitions

City means the City of Greater Geraldton.

Council means the Council of the City of Greater Geraldton.

Councillor means a person who holds the office of Councillor on the Council.

Mayor means the Mayor elected by electors of the district of the City of Greater Geraldton.

CEO means the Chief Executive Officer of the City.

Employee means a person employed by the City under section 5.36 of the LGA.

Strategic Community Plan means the Strategic Community Plan adopted by the Council.

Act or **LGA** means the *Local Government Act 1995*.

Policy Principles

The Policy principles are set out in the proceeding manual.

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Executive Summary

To achieve the City of Greater Geraldton (City) agreed objectives and outcomes, the following Enterprise Wide Risk Management framework has been adopted:

The City will manage risk in accordance with the Australian/New Zealand Standard (AS/NZS ISO 31000:2009) risk management principles:

- a) maintain the highest possible integrity for services provided by the City of Greater Geraldton;
- b) safeguard the City of Greater Geraldton's physical and non-physical assets including employees, financial and property (both physical and intellectual);
- c) create an environment where all employees will assume responsibility for managing risk;
- d) achieve and maintain legislative and regulatory compliance, professional standards and codes of conduct based on the best available information;
- e) ensure resources and operational capabilities are identified and responsibility for managing risk allocated; and
- f) demonstrate transparent and responsible risk management processes which align with accepted best practice through the implementation of a comprehensive risk management process which addresses uncertainty and the nature of that uncertainty together with continuous improvement of the process.

This document provides the City and its employees a comprehensive approach to identifying and managing risk in relation to this framework. It will help all employees address not only the insurable risks, but also risks associated with areas such as change management, service delivery, legislative and regulatory compliance. This will provide a sound basis for corporate and operational planning, help to minimise costly surprises, lead to better outcomes in terms of program efficiency and effectiveness, and support management decision making on a daily basis – all of which will ultimately enhance the City's delivery of services to the community.

This document comprises two distinct components:

- g) first, an overview of the City's Strategic Enterprise Wide Risk Management Framework is provided. This maps the City's approach and the structures and processes that support an integrated risk management environment which links business objectives, risk and related controls;
- h) second, it sets out the specific processes associated with risk management activities within the City. It facilitates the preparation and documentation of comprehensive risk management plans to enable implementation of risk management practices across the City.

In addressing both the strategic and process aspects of risk management in the City, this document is a resource available for management to use as a reference and as a basis for implementing the training required to ensure employees involved in risk management activities are appropriately skilled in the required City risk management processes.

It is expected that this document, and the methods and concepts used within it, will be reviewed and updated periodically. Like all activities undertaken by the City it will be subject to continuous improvement as new and more advanced practices in risk management evolve.

1. Overview of Enterprise Wide Risk Management

1.1 What is Enterprise Wide Risk Management?

A risk is the effect of uncertainty of the City achieving its objectives. It may be the chance of something occurring that has the potential to cause loss, damage or injury. Risk management is the application of management policies and processes to enable the systematic identification, analysis, treatment and monitoring of risk. Risk management allows opportunities to be taken when appropriate while also minimising the likelihood and impact of undesirable events or outcomes.

1.2 Who should use this document?

Risk management is everyone's responsibility and therefore this document will be a useful reference for all City employees.

1.3 Terminology

A number of key terms and concepts are used frequently throughout this document. Among these are the concepts of risk, likelihood and consequence. Risk is anything that may hinder the City from achieving its objectives. Risk encompasses:

- a) the possibility of good things not happening (risk as opportunity);
- b) the threat of bad things happening (for example a hazard); and
- c) the potential that actual results will not equal anticipated outcomes (risk as uncertainty).

Risk not only includes the possibility of economic or financial loss or gain but also injury or death, asset damage, environmental harm, business interruption, reputation and image concerns and legal and compliance.

Risk has the following primary elements:

- d) the likelihood of something happening or not happening; and
- e) the consequences of it happening or not happening.

A detailed glossary of terms used throughout this document is set out at Appendix A.

1.4 Risk Management Standards & Guidelines

While AS/NZS ISO 31000:2009 provides a generic framework within which organisations can implement risk management, The City has made use of a number of other standards when developing and implementing risk management in the City. These standards include *Australian Corporate Governance Standards AS 8000 - 8004: 2003*, the *AS/NZS 4801 (Managing Safety and Health)* and as stated, *AS/NZS ISO 31000:2009 Risk management - Principles and guidelines* The Department of Local Government & Communities *Risk Management Resources* and the *RiskCover WA Government Risk Management Guidelines*.

Note: The above listed Standards and Guidelines should not be considered as a comprehensive list of risk management resources. Consideration should be given when undertaking risk activities as to if specific risk advise or guidance on specialist areas should be sort.

Risk management is now widely accepted as a key element of sound corporate governance practice and as a valuable tool for integrating all aspects of management planning and decision making.

In recognising that risk management is integral to good business practice Enterprise Risk Management and is made up of the following:

- a) City risk management policies;
- b) EMT and senior management dedicated to ‘championing’ the promulgation of risk management;
- c) risk management committees with EMT representation;
- d) management systems to establish and report on the profile and treatment of risks; and
- e) broadly-based culture-change programs to introduce risk management programs to employee, raise their awareness of risks, and train them to identify and deal with risk.

1.5 Overview of this document

Beyond this introduction, Section 2 provides an overview of City’s Strategic Enterprise Wide Risk Management Framework. This maps the City’s approach and the structures and processes that support an integrated risk management environment which links business objectives, risk and related controls.

Sections 3 - 9 set out the specific processes and steps associated with enterprise wide risk management activities within the City. These sections facilitate the preparation and documentation of comprehensive risk management plans to enable implementation of risk management practices across the City.

Section 10 provides readers with an overview of the broad approach and processes that will support the formal implementation of risk management across the organisation.

Sections 11 – 13 provides an overview of related strategies that are related to the successful implementation of this Risk Management Framework.

A number of appendices are located at the back of the document. These contain a glossary of terms and a number of blank templates of documentation that are prepared during the course of the risk management process. These templates are designed to assist initial data capture and management.

To enable electronic data capture and reporting of risk management process outcomes, these templates, also appear on the City’s Intranet within the Corporate Governance Section.

2. The City’s Strategic Enterprise Wide Risk Management Framework

2.1 Strategic Approach to Enterprise Wide Risk Management

2.2 Introduction

The City is working towards being a vibrant, progressive City where family, lifestyle choice, natural environment and prosperity go hand in hand.

The City is committed to making decisions responsibly and acting with integrity, honesty and respect. It is accountable to its community for the decisions it makes and for the management of public assets and resources. It is open to scrutiny through its annual report.

The City's management practices must therefore not only be directed to achieving its aims and objectives in an efficient and effective manner, but also to identifying and managing those risks that prevent it from achieving these aims and objectives.

Consequently, the City's enterprise wide risk management approach has six key features:

- a) communication and consultation with key stakeholders at all stages of the risk management process;
- b) identifying objectives - these objectives may be related to the City's strategic priorities, operations, processes, functions, projects, services, assets activities, programs or business units;
- c) analysing risks taking into consideration the causes and sources of risk, their positive and negative consequences, and the likelihood that those consequences can occur;
- d) evaluating the risks to achieving the identified objectives;
- e) implementing ways of dealing with risks in order to achieve the desired objectives; and
- f) monitoring and reviewing of the City's strategic and operational risk profile and implementing a continuous improvement approach to risk management.

2.1.1 Strategic business objectives

Enterprise wide risk management will assist the City to achieve its strategic and operational objectives as outlined in the Strategic and Corporate Plans and increase its value to the community. These objectives may be related to a strategic priority project, activity, program or Department at any level in the City. A clear understanding of the relevant objectives, and what is being done to achieve them, provides a sound basis for identifying key risks across the City and dealing with them effectively.

This will help to align the City's strategic and corporate business objectives and planning processes, through the budgeting process to the work performed by employee. Everyone has a role to play in achieving the City's business objectives, and using risk management in the day-to-day working environment can assist this process. Sound risk management practices will help ensure that the City takes advantage of opportunities while also mitigating threats to its objectives and operations.

2.1.2 Risks

Risk is everywhere and always has been. However, the City is growing more complex as an organisation, involving a wide range of stakeholders and providing a diversity of services. What has also changed is that we are now taking a systematic view of risk, and focusing on ways of dealing with it comprehensively. A focus on risks is required because the City is currently:

- a) encouraging line management to accept and introduce new business practices and improvements;
- b) dealing with increased customer awareness and expectations;
- c) facing new threats and opportunities in its operating environment; and
- d) assessing management information needed to support its business objectives.

Consequently, the implementation of effective risk management processes is vital to achieving the vision of the City and adding value to all we do equal to, or exceeding our customers' expectations.

2.1.3 Controls

Internal controls are those processes in place within the City which assist in limiting the risks

associated with pursuing business objectives. Controls include all policies, practices and procedures, management systems and structures that assist the City to operate efficiently, effectively and ethically.

If the City’s control framework is robust, risks will continue to be managed effectively in a changing environment.

To ensure this is the case, the City’s enterprise wide risk management approach aims to build controls into existing management structures and processes. The actions resulting from each risk management review will require management and employees to work within the City and departmental procedures and guidelines to develop solutions which fit our business. Leadership and commitment from management is also required to achieve behavioural and organisational change. As a result, change management is a key factor in successfully implementing risk management practices.

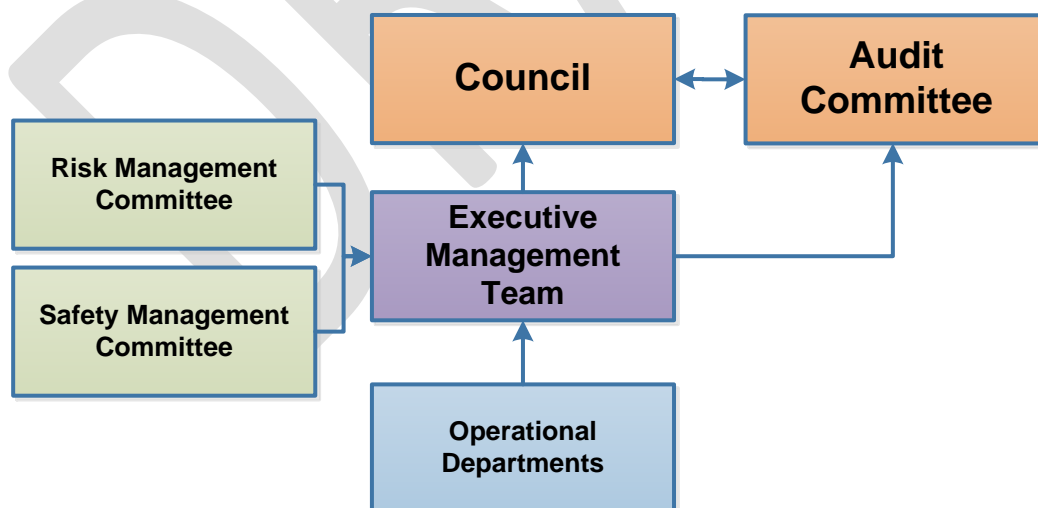
The City aims to move from a reactive approach to risk, where risk is dealt with in an adhoc fashion, to a point where all employees have embraced the concepts and the processes are working seamlessly. To achieve this aim, the City’s enterprise wide risk management framework sets out a clear and robust process to ensure that objectives, risks and controls are addressed within an integrated framework.

2.2 Corporate Governance and Risk Management

Risk management is a key component of corporate governance. It is broader than having safe footpaths and roads. It involves consideration of the activities of the organisation which may include, but is not limited to, the social, culture, political, legal, regulatory, financial, technological, economic, natural and competitive environment, key drivers and trends, relationships with key stakeholders, governance, processes and structures.

2.2.1 Organisational structures

In line with best practice approaches to corporate governance the City has established relevant organisational risk management structures and processes. The organisational structure to support risk management in the City is shown below.

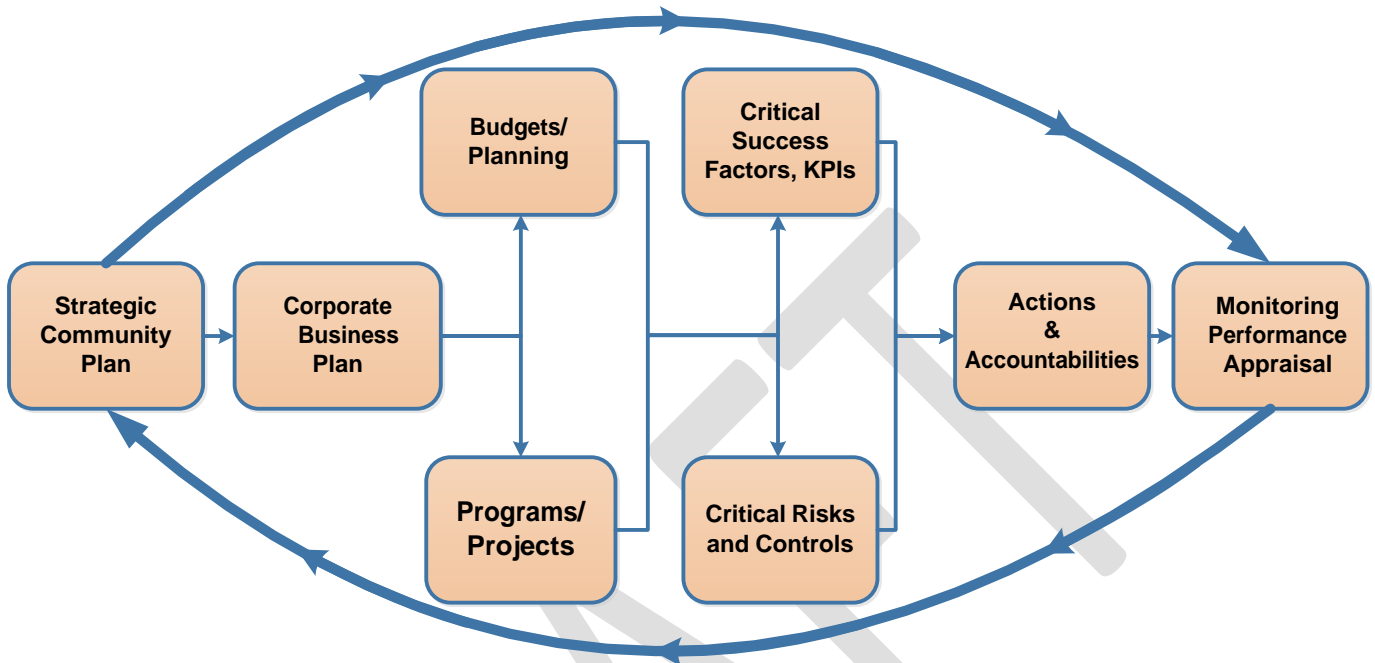


2.2.2 City Strategic Management Processes

Risk management activities are a key part of all business processes. In particular, there is a strong relationship between the risk management process and the cycle of corporate and operational planning activities, as seen in the diagram below. As the vision, strategy and business objectives are established for each City service unit, so too should related risks be identified

and assessed.

When strategic and corporate plans and budgets are prepared; City service units should identify and assess risks to their objectives, leading to a ranking of risks, and finally, to the establishment of appropriate risk treatments and controls. However, it is important to remember that risk management is not a once a year process, risk management happens every day.



City's strategic management processes which involves risk management at each step

To embed risk management more deeply as an integral part of the City's operations it is necessary to:

- a) ensure risk management processes are included in, and seen as integral to, the City's corporate planning, budgeting and reporting processes;
- b) ensure risk management is integrated with other governance practices such as audit, legal and regulatory compliance, disaster management and business continuity;
- c) incorporate risk management into continuous improvement programs;
- d) tie risk management objectives to each relevant project, activity or work group;
- e) include the outcome of risk management activities in reporting of programs, reviews and evaluation processes; and
- f) incorporate risk management into performance appraisals of employees.

2.3 Enterprise Wide Risk Management Policies and Principles

2.3.1 Policies

The City currently has 3 policies adopted for the management of risk throughout the City's operations;

- a) The City has adopted a Risk Management council policy that outlines the intended position

and requirements for risk management throughout the City.

- b) The City has adopted a Risk Appetite and Tolerance council policy which outlines the predefined risk acceptance and tolerance for City operations and the levels at which risk maybe accepted and treated.
- c) The Risk Management Framework is an operational policy that provides specific guidance on how risk management activities are to be undertaken throughout the City.

2.3.2 Principles

Operating principles that support the City's enterprise wide risk management framework are summarised below.

The City aims to demonstrate sound enterprise wide risk management principles which align with best practice. The City is actively committed to:

- a) identify and rank all strategic and operational risks using the City's risk management process;
- b) ensure risk management becomes part of day-to-day management;
- c) provide employees with the policies and procedures necessary to manage risks;
- d) ensure employees are aware of risks and how to manage them; and
- e) monitor its strategic and operational risk profile and implement a continuous improvement approach to risk management.

2.4 The Enterprise Wide Risk Management Process

The City's risk management process has been adapted from the Australian Standard AS/NZS ISO 31000:2009 and is based on the 7-step approach set out in the diagram below.

The City's approach to risk requires the consideration of all risks which have the effect of uncertainty on the achievement of business objectives. In sections 3 to 9 of this document each step of the process is discussed in greater detail.

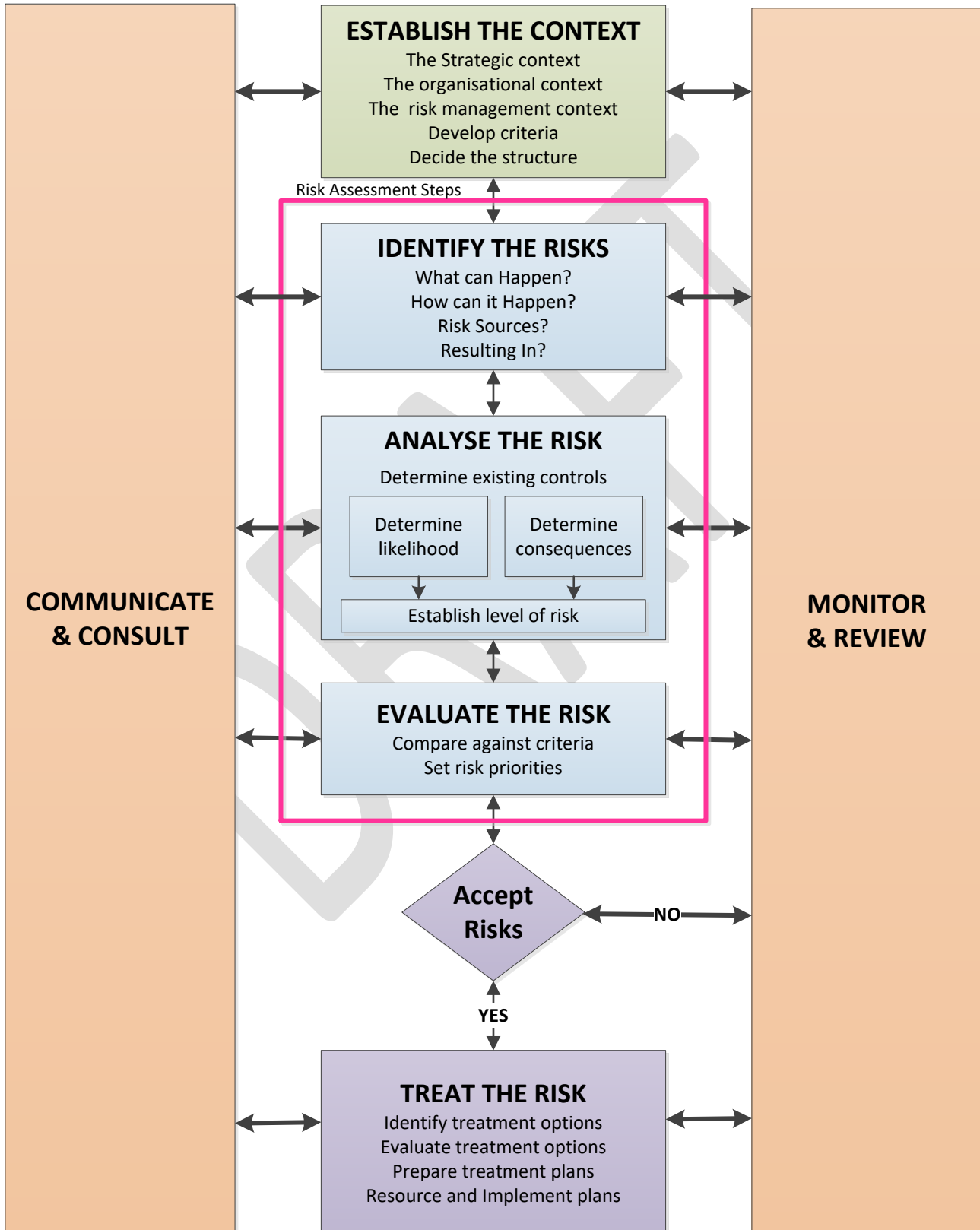
The objective is to identify all unacceptably high and extreme -level risks and put in place processes and structures to deal with them. Lower-level risks are also considered, but priority should be given to high and/or extreme risk areas, and treating these through the management process at the Department level.

This process is not linear – it is cyclical and ongoing. Monitoring and review of all stages of the process is critical, and ensuring that a periodic review of risks and controls is in place is critical to the success of the process.

2.5 Risk Management Documentation

The City's risk management process requires documentation of all relevant activities to enable those involved to complete this process with confidence. It will provide an auditable document history to all accountability management. All City risk management documentation requirements are set out within this document. To further assist those involved in documenting the risk management process, the appendices include blank templates that are to be used to ensure appropriate and consistent recording of outcomes. See Appendix C - F for the primary documents available for use. Electronic templates are available on the Corporate Governance intranet site. All risk management plans are to be recorded into Trim and a copy

Main Elements of the Enterprise Wide Risk Management Process



3. Enterprise Wide Risk Management Process

3.1 Overview

Before commencing the risk management process outlined in the diagram above, the context of the service unit or task under consideration should be established. Establishing the context requires consideration of your goals, objectives and strategies, the scope and parameters of the activity, or area of the organisation to which the risk management process is being applied.

Some starting questions that may assist include:

- a) Do we understand the expectations of our customers and stakeholders?
- b) What laws, regulations, rules or standards apply to the organisation?
- c) What are the vision, mission and values of the organisation?
- d) What are the specific service aims and objectives and how do they relate to the Strategic, Corporate and Operational Plans?
- e) Who is involved, both internally and externally?
- f) Do we understand the level of acceptable risk?

After establishing the context it is necessary to carry out a risk identification review to document the risks to be managed. Comprehensive identification using a well-structured, systematic process is critical, because a potential risk not identified at this stage will be excluded from further analysis. Identification should include all risks, whether or not they are under the control of the City. The preferred approach to identifying risks is brainstorming in a group workshop, thus bringing together expertise that covers all aspects of interest in the activity being reviewed.

The aim of the risk identification process is to generate a comprehensive list of events which might affect the City's objectives and operations. These risks are then considered in more detail, to identify the potential impact of each risk.

3.2 Use of the Risk Breakdown Structure (RBS) for Risk identification

Within organisations of the complexity of City, the identification of risk becomes problematic without a well-developed Risk Breakdown Structure (RBS). The RBS provides a means for the organisation to structure the risks being addressed or tracked. The RBS could be considered as a hierarchically organised depiction of the identified risks arranged by risk category.

Another benefit of the RBS is that if all risks are placed in a hierarchical structure as they are identified, and the structure is organised by source, the total risk exposure to the organisation can be more easily understood, and planning for the risk more easily accomplished.

Of greater significance, the RBS provides the ability to identify the cumulative effect to the City of like risks. In doing so, EMT is able to respond more effectively to these emerging issues.

The RBS to be used within City are provided at **Annex B**.

3.3 Common Risk Description Structure

After identifying a risk, it is vital that it is captured in a manner that allows the risk to be fully understood by the entire stakeholder community. The method to be used for describing a risk within City is as follows:

Risk Identified:	Relate name to system impacted and explanation of cause.
Cause/s: <i>Risk Source</i>	Explanation of what might cause the risk event to occur (list each cause).
Consequence:	Identify local consequences and attempt to identify how these affect major areas.
RBS	Identify which Risk Breakdown Structure this risk falls within.

Table 5–Risk Description Structure

An example of a risk in this format is shown below:

Risk Identified:	Cause/s: <i>Risk Source</i>	Resulting In	RBS
Dept Inability to quantify condition of current software application	<ol style="list-style-type: none"> 1. Lack of data 2. Inaccurate data 3. Lack of support systems 4. Lack of clarification of roles and responsibilities 5. Lack of resources to undertake assessment 6. Management of contractors has been inconsistent 7. Some services below ground 8. Some assets are not known or location not known. 	<ol style="list-style-type: none"> 1. Estate deterioration 2. Pay for services not received (CMS) 3. Duplication of service/report of same information 4. Unforeseen failure 5. Negative impact on reputation 6. Increased costs (project and maintenance cost) 7. Inability to support capability 8. Potential non-compliance 	d) Failure of IT &/or Communication Systems, Data & Infrastructure

3.4 Cause of Risk

Having identified a list of risks, it is necessary to consider possible causes and consequences. There are many ways an event can be initiated. It is important that no significant causes are omitted. This will ensure that the risk strategies determined will reduce or manage not only the risk itself, but also the causes of the risk.

Approaches used to identify risks include;

- a) Checklists,
- b) Judgments based on experience
- c) Judgments based on documented records or past incidents,
- d) Flowcharts,
- e) Scenario analysis.
- f) Brainstorming,
- g) Interviews,
- h) Workshops, and
- i) Systems analysis

The approach used will depend on the nature of the activities under review and the types of risks.

Whilst assessing risk at the Department level it may be found that the “cause” of a risk/s may be similarly experienced by another service unit, and therefore a corporate wide risk strategy may be appropriate.

Some questions to assist further consideration of risks in the profile may include:

- a) What are the underlying causes that are giving rise to risks that have been identified?
- b) Are other parts the City facing the same risks / issues?
- c) Is a corporate wide risk management strategy required?

3.5 Consequence of Risk

Determine the likely consequence for each risk, for example, the impact it will have on the services being provided by the City as a whole. This might be significant financial loss, fatality or injury, loss of major infrastructure, or indeed may cause major reputation damage for the City.

The information generated in understanding the cause and consequence of risk will assist in the next step of analysing the risk rating (the measure of likelihood x level of consequence).

4. Assessing the Likelihood and Consequences of Risks

4.1 Analysis of Risk

This section of the risk management process concentrates on the likelihood of occurrence and the consequence of each risk.

Sections 4.2 and 4.3 set out detailed information about the meaning of likelihood and consequence, while the glossary in Appendix I contains definitions of these and other terms.

Risk is analysed by combining estimates of likelihood and consequence in the context of existing control measures to arrive at a level of risk. The objectives of this analysis are to sort risks into relevant ranking levels so that not only major risks are clearly identified but minor risks are also noted. This ranking can later be used to assist in the assessment and treatment of risks. Likelihood and consequence concepts should be applied to all risks identified at stage one of the risk management process so that lower level risks can be excluded from further more detailed risk considerations. Although low risks may not be subject to further risk management processes, it is important that they are documented and added to the risk profile to demonstrate the completeness of the risk analysis.

4.2 Risk Likelihood Ratings

Some events happen once in a lifetime; others can happen almost every day. Analysing risks requires an assessment of their frequency of happening. The following table provides broad descriptions to support likelihood ratings.

LEVEL	DESCRIPTOR	DETAILED DESCRIPTION	OPERATIONAL FREQUENCY	PROJECT FREQUENCY	TRANSITIONAL FREQUENCY
1	Almost Certain	The event is expected to occur in most circumstances	More than once per year or incident is clearly imminent	Greater than 90% chance of occurrence	1 in 25,000
2	Likely	The event will probably occur in most circumstances	At least once per year	60% - 90% chance of occurrence	1 in 75,000
3	Possible	The event should occur at some time	At least once in 3 years	40% - 60% chance of occurrence	1 in 250,000
4	Unlikely	The event could occur at some time	At least once in 10 years	10% - 40% chance of occurrence	1 in 750,000
5	Rare	The event may only occur in exceptional circumstances	Less than once in 15 years	Less than 10% chance of occurrence	1 in 1,000,000

Select the likelihood rating of each identified risk.

4.3 Risk Consequence Ratings

Consequences can be described in a number of ways. To ensure that all dimensions are considered, a risk in the City can have consequences in terms of:

- a) Dollar cost;
- b) human impact;
- c) damage to reputation and image;
- d) damage to property and assets;
- e) harm to the environment;
- f) strategy, or loss of opportunity;
- g) service delivery and meeting of customer expectations;
- h) Regulatory or legal compliance.

It is important to note that each consequence can be rated, in terms of its severity, from catastrophic to insignificant. To assist in determining the level of consequence that a risk poses for the City, the following table provides a summary of each type of risk consequence relevant to the City as well as their relative severity ratings. It is also necessary to consider only the impact statements that relate to the risk being assessed, for example, a decision made by the City may have financial consequences only.

LEVEL	DESCRIPTOR	SAFETY / HEALTH (Physical)	SAFETY / HEALTH (Psychological)	FINANCIAL IMPACT	SERVICE INTERRUPTION	REPUTATION	ENVIRONMENT	LEGAL & COMPLIANCE
1	Insignificant	Negligible injuries, Full recovery 1 – 3 days	Temporary stress, no leave taken, short term impact with full recovery 1 – 3 days	Organisation Less than \$10,000 Dept. or Project 0-2% remaining Budget	No material service interruption, backlog cleared in 2 – 4 hours	Unsubstantiated, low impact, low profile or 'no news' item <i>Example gossip, Facebook item seen by limited persons</i>	Contained, reversible impact managed by on site response <i>Example pick up bag of rubbish</i>	Compliance No noticeable regulatory or statutory impact Legal. Threat of litigation requiring small compensation. Contract. No effect on contract performance.
2	Minor	First aid injuries, full recovery 1 – 3 weeks	Possible Sick leave, short term impact, Full recovery 1-3 weeks	Organisation \$10,000 - \$100,000 Dept. or Project 2-5% remaining Budget	Short term temporary interruption – backlog cleared < 1 – 7 days	Substantiated, low impact, low news item <i>Example Local Paper, Everything Geraldton, Facebook item seen by local community</i>	Contained, reversible impact managed by internal response <i>Example pick up trailer of rubbish</i>	Compliance Some temporary non compliances Legal. Single Minor litigation. Contract. Results in meeting between two parties in which contractor expresses concern.
3	Moderate	Medically treated injuries, Full recovery 1 – 3 months	Significant, non-permanent, longer term illness, Full recovery 1-6 months	Organisation \$100,000 - \$1M Dept. or Project 5-14% remaining Budget	Medium term temporary interruption backlog cleared by additional resources within < 2 – 4 weeks	Demonstrated public outrage, Substantiated public embarrassment, moderate impact, moderate news profile <i>Example State wide Paper, TV News story, Moderate Facebook item taken up by people outside City</i>	Contained, reversible impact managed by external agencies <i>Example Contractor removal of asbestos sheets</i>	Compliance Short term noncompliance but with significant regulatory requirements imposed Legal. Single Moderate litigation or Numerous Minor Litigations. Contract. Receive verbal advice that, if breaches continue, a default notice may be issued.
4	Major	Lost time or severe injury Possible Partial /full recovery 4 – 12 months	Longer term illness, severe trauma, extended incapacity Possible Partial /full recovery 6 – 12 months	Organisation \$1M - \$9M Dept. or Project 15 -20 % remaining Budget	Prolonged interruption of services, additional resources required; performance affected issue resolved within < 4 – 12 weeks	Sustained and high level public outrage, Substantiated public embarrassment, high impact, high news profile, third party actions <i>Example Australia wide Paper, TV News stories, Current Affair etc Significant Facebook item taken up by large numbers of people outside City</i>	Uncontained, reversible impact managed by a coordinated response from external agencies <i>Example truck or train spill of diesel and oil on road reserve/ park</i>	Compliance Noncompliance results in termination of services or imposed penalties Legal. Single Major litigation or numerous Moderate Litigations. Contract. Receive written notice from the contractor threatening termination if not rectified.
5	Catastrophic	Fatality, permanent disability	Death, permanent severely disabling illness, e.g. Post-Traumatic Stress Disorder	Organisation Greater than \$10M Dept. or Project Greater than 20% remaining Budget	Indeterminate prolonged interruption of services that impacts on Public safety and core services– non-termination of service	Substantiated, public embarrassment, very high multiple impacts, high widespread multiple news profile, third party actions, Likely to lead to the dismissal of Council/ Councillors or Executive Staff. <i>Example World Wide News, TV News stories, Current Affair, 60 Minutes, Widespread Facebook item taken up by vast numbers of people outside City</i>	Uncontained, irreversible impact <i>Example Ship runs aground and spills oil along City coast line, ground water supply exhausted or rendered unusable</i>	Compliance Noncompliance results in litigation, criminal charges or significant damages or penalties Legal. Numerous Major Litigations. Contract. Termination of Contract for default.

4.4 Risk Analysis Matrix

As cited earlier, risk is analysed by combining estimates of likelihood and consequence. To determine the risk ranking for a particular risk, use the risk ranking matrix below to combine your selected likelihood and consequence ratings for each risk identified.

Consequence \ Likelihood		Insignificant	Minor	Moderate	Major	Catastrophic
		1	2	3	4	5
Almost Certain	5	Moderate 5	High 10	High 15	Extreme 20	Extreme 25
Likely	4	Low 4	Moderate 8	High 12	High 16	Extreme 20
Possible	3	Low 3	Moderate 6	Moderate 9	High 12	High 15
Unlikely	2	Low 2	Low 4	Moderate 6	Moderate 8	High 10
Rare	1	Low 1	Low 2	Low 3	Low 4	Moderate 5

Risk Acceptance Criteria

RISK RANK	DESCRIPTOR	CRITERIA FOR RISK ACCEPTANCE	RESPONSIBILITY
Low (1-4)	Acceptable	No Immediate Concern, Risk acceptable with adequate controls, managed by routine procedures and subject to annual monitoring	Operational Manager
Moderate (5-9)	Monitor	Needs Periodic Monitoring, Risk acceptable with adequate controls, managed by specific procedures and subject to semi-annual monitoring	Operational Manager
High (10-16)	Urgent Attention Required	Needs Regular Monitoring, Risk acceptable with excellent controls, managed by senior management / executive and subject to quarterly monitoring	CEO
Extreme (20-25)	Unacceptable	Needs Active Management, Risk only acceptable with excellent controls and all treatment plans to be explored and implemented where possible, managed by highest level of authority and subject to continuous monitoring	CEO / Council

5. Identification and Assessment of Controls

5.1 Overview of Controls

Corporate governance practices within the City would be incomplete and ineffective without an adequate internal control system.

In the City, controls generally include the following:

- a) Council policies
- b) Operational policies
- c) Departmental procedures and guidelines
- d) standards or specifications
- e) codes of practice
- f) management plans, systems or structures
- g) regulations or other organisational protocols
- h) legislation

The existence and proper application of these and other controls at all levels helps to ensure that the City operates efficiently, effectively and ethically.

5.2 Assessing Controls

Formal controls are likely to be in place already for many risk exposures. The degree and effectiveness of existing controls over risks needs to be considered to allow a definitive risk ranking process. These controls need to be identified clearly and their effectiveness assessed. Major risks that are not subject to effective controls may cause catastrophic consequences. Some controls are informal and their effectiveness may be anecdotal, so there is an important need to establish whether the control process is adequate, and the extent to which it is followed.

Controls fit into three distinct types as detailed below:

- i. **Preventative Controls.** These controls are aimed at preventing the risk occurring in the first place. They include: plans, policies, procedures, Safe Work Method Statements .etc.
- ii. **Detective Controls.** These controls are used to identify when a risk has become an issue/incident. They include: audits, stocktakes, and reviews .etc.
- iii. **Mitigating Controls.** These controls are aimed at minimising the consequences that arise from the issue/incident. They include: Business Continuity Plans and Disaster Recovery Plans, Personal Protective Equipment .etc.

Once existing controls have been identified, it is necessary to evaluate them for effectiveness. The fact that proven processes are being followed does not necessarily mean that risk is being mitigated. The experience levels of the personnel undertaking the processes and the rigour with which the processes are being followed and supervised will also impact upon the control effectiveness.

For each risk identified, the first question to be asked is, “Is there anything in place at the moment that would effectively lessen the likelihood or the impact of this risk?” If the answer to this question is yes, then the next question that needs to be asked is: “how effective are the current controls in preventing this risk from occurring or reducing the impact”.

Experience has demonstrated that there is a direct correlation between the effectiveness of an existing control and the likelihood of the risk occurring (i.e. the more effective the control, the less likely the risk is to occur) and/or the impact of the risk (i.e. non effective controls may increase the impact).

The outcome of this evaluation should then influence further analysis of the likelihood and potential consequences of the risk.

5.3 The Control Practices Matrix

As discussed in sections 5.1 and 5.2 it is not only necessary to identify controls but also to assess them. This assessment process is used to confirm that the control is in place and to validate the effectiveness, or otherwise, of each relevant identified control. The control practices matrix below provides a convenient way of doing this.

To assess control practices in place, the following questions apply:

- a) Does the control address the risk effectively?
- b) Is the control officially documented and communicated?
- c) Is the control in operation and applied consistently?

The matrix set out below should be used (see also Appendix C, Risk Workshop Template) to score the control related responses to the above questions. Scores are to be added to give a total control rating.

		Does the Control Address the Risk Effectively?	Is the Control Officially Documented & Communicated?	Is the Control in Operation & Applied Consistently?
Answer / Response	Yes =	1	1	1
	Partly =	3	2	2
	No =	6	3	3
	Add Scores	+	+	= ____

For example, a control that addresses the risk, is officially documented, and is in operation would score 3 (1+1+1), a perfect score. Section 6 sets out why the above scores are integral to the risk management ranking process.

To help employee to describe and attribute a control rating to the scores derived from the control practices matrix, the following indicative ratings can also be used:

SCORE	2015 RATING	2012 RATING	DESCRIPTION
7-12	Poor	Inadequate	At best, control addresses risk, but is not documented or in operation; at worst, control does not address risk and is neither documented nor in operation
5-6	Fair	Adequate	Control addresses risk at least partly, but documentation and/or operation of control could be improved
4	Good		Control addresses risk but documentation and/or operation of control could be improved
3	Excellent	Excellent	Control addresses risk, is officially documented and in operation

6. Overall Risk Management Ranking

6.1 Introduction

Following the identification and analysis of significant risks and assessment of related controls, it remains to rank each risk.

Ranking of risks allows a risk profile to be compiled at each location under review as a basis for determining priorities and actions.

Risk ranking requires knowledge and consistency. The 2-step process set out below assists in ensuring that this occurs.

6.2 Step 1: Document Risk and Control Ratings

From the risk profile, document individual risk ratings, taking into consideration likelihood and consequence to arrive at a combined risk rating (to obtain this rating, use the risk ranking matrix at section 4.4). Then consider and document the existing internal controls relevant to this risk, using the control practices matrix set out in section 5.3 (for Risk Workshop Template see *Appendix C*)

6.3 Step 2: Overall Risk Management Ranking Map

The results can now be placed on a risk map, as set out below, to arrive at the overall risk management ranking. This map clearly sets out the actions required by management to manage each risk efficiently and effectively. It ensures that priorities are established which allow management resources to be directed to the relevant areas. At the same time it provides management with a robust framework that allows them to feel confident in their approach to risk in the operations under their control.

Map Control Rating and Overall Risk Rating to determine level of management required

Risk Rating	Risk Score	Risk Profile Map									
Extreme	25										
	20										
High	16										
	15										
	12										
	10										
Moderate	9										
	8										
	6										
	5										
Low	4										
	3										
	2										
	1										
Control Value		3	4	5	6	7	8	9	10	11	12
Existing Rating	Control	Exc.	Good	Fair	Poor						

When plotted, scores for each risk meet on the ranking map above and assist in the decision making and risk treatment process, as follows:

Needs Active Management	After analysing the risks, a risk treatment plan must be established and implemented immediately. Requires senior management decision-making.
Needs Regular Monitoring	After analysing the risk, a treatment process should be adopted and implemented as a high priority, primarily focused on paying close attention to the maintenance of controls. Senior management attention is required.
Needs Periodic Monitoring	After analysing these risks a treatment process should be adopted and implemented, as soon as possible, primarily focused on monitoring risks in conjunction with a review of existing control procedures. Management responsibility should be specified.
No immediate Concern	No immediate concern and can be managed by routine procedures.

7. Enterprise Wide Risk Management and Treatment

7.1 Risk Management Plans

As a product of the risk assessment process risk management plans should be developed for each relevant service unit, project or activity. Risk management plans are to be used to document and summarise risk management processes and individual treatment plans.

Preparation of these plans enable the documentation of each phase of the risk management process, while also allowing the clear identification of the responsibilities associated with implementation and monitoring

By completing a risk management plan in the format set out (*Appendix D*), relevant City employees can establish accountability, and ensure that risk management is seen as part of each employee member's responsibilities.

Risk management plans allow for reporting back to Council, EMT, relevant management and through to the Risk Management Committee. These plans are flexible, allowing for continual updating and reassessment as risks confronting the City change or the likelihood and consequences change.

7.2 Risk Treatment Plans

7.2.1 Format of risk treatment plans

Risk treatment plans should document the way in which selected risk treatment options are to be implemented for all major risks. Risk treatment plans will be completed after the need has been identified through the completion of risk management plans. The risk treatment plans should follow the format set out below (template at *Appendix C and D*).

7.2.2 Undertaking risk treatment

Risk treatment involves identifying the range of options for treating risk, evaluating those options, selecting the preferred treatment, preparing risk treatment plans and implementing them.

Preparation of risk treatment plans often requires input from higher levels of management, particularly if the risk is shared across a number of departments and a corporate wide strategy is required. In some circumstances, advice from risk control and insurance specialists may be required.

In completing the risk treatment plans and working through the risk treatment decision tree (section 7.3) it will be necessary to select the most appropriate treatment from all available options. At this point it is important to document the benefits of the response selected compared with the costs. Implementing risk treatment plans is one of the essential elements of a successful risk management process. To ensure that treatment plans are actioned requires management of the process by relevant senior employees. This management planning process should include:

- a) allocation of risk treatment responsibilities;
- b) approval or allocation of resources needed for treatment;

- c) establishment of deadlines, or in the case of long-term treatment processes, agreement on milestones and deadlines; and
- d) report back agreement – format and dates;

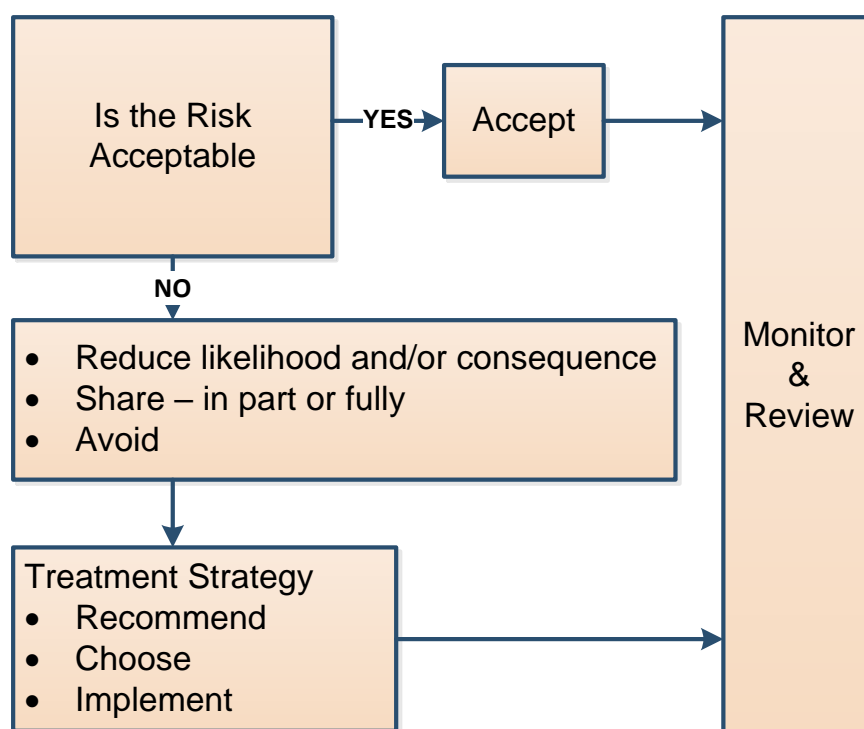
The diverse nature of the City is such that risk treatment implementation plans will need to be tailored to meet the specific needs of each service unit, project or activity.

A successful risk treatment plan implementation process is only possible if systems are in place to ensure that responsibilities are assigned, management and employees are held accountable for their actions and the process is subject to adequate monitoring and review (refer to section 8). If the action plans developed have long lead times, consideration should be given to implementing interim measures and actions, if needed. If, for whatever reason, action plans cannot all be implemented at the time of being approved, specific action plans should be prioritised based on risk rankings.

Similar risks can be identified across a number of departments. A consolidated risk profile report will identify these and note requirements for corporate wide risk management strategies. Consultation and communication across all affected departments will be essential for the successful implementation of risk treatment plans.

7.3 The Risk Treatment Process

The decision tree set out below should be used as a guide when assessing risk treatment in order to arrive at an acceptable level of residual risk.



All risks identified as requiring further treatment should be considered in the context of the treatment options available. These treatment options should be considered weighing the cost of implementing each option against the potential benefits. In some cases a cost benefit analysis may be required to assist in the selection process.

When significant risk reductions can be obtained at relatively low cost, such options should be implemented. As a general guide, risks should be reduced to the lowest possible level after taking into consideration the costs associated with risk reduction.

When assessing risk treatment options, it is important to understand that it will often be most appropriate to combine several treatment options. Risk responses may be specific to one risk or they might address a range of risks.

Risk Treatment Plans must be implemented as per the following timeframes,

Risk Level	Treatment Plan Actioned
Extreme	Eliminate or mitigate immediately
High	Within one month
Moderate	Within three months
Low	Action not required

7.3.1 Risk Treatment Options

There are three broad treatment options available for the mitigation of identified risks. These are outlined in the below.

7.3.1.1 Avoid

This option seeks to treat the risk by avoiding the event that would lead to the risk. There will be few, if any, risks identified within City where this treatment strategy will be an option.

7.3.1.2 Treat

Under this option, responsibility for the treatment of the risk is kept in-house. Risk Treatments that will reduce the likelihood and/or consequence of the risk are developed and recorded in the Risk Register.

It needs to be remembered, however, that risk treatments are only effective if they are completed. To that end, all risk treatments need to be adequately resourced in terms of funding and allocation of personnel. In addition, to ensure accountability within the City, all risk treatments are to have an owner assigned.

Upon completion of the risk treatments, the Risk Register is to be updated to reflect completion of the treatment and the risk is to be reassessed as to whether these actions have been successful in reducing the likelihood and/or consequence.

7.3.1.3 Transfer/Sharing

Risk transfer/sharing involves devolving responsibility for the management of an activity for which risks have been identified to another party, or, transferring certain consequences (usually financial) to another party. Examples of transferring or sharing of risk include:

- i. **Contracting and/or Insurance.** Contracting and insurance are perhaps the most widely used form of risk transfer. It should be remembered, however, that it is virtually impossible to transfer all of the risk to a third party. As an example, a contract can cover the City against financial loss by transferring the risk to the Contractor, however, any issues that arise from the contract may still result in a death/injury or reputation consequences to the City that can't be transferred.

- ii. **Escalation.** Risks are escalated for a number of reasons:
 - i. The residual risk (after treatment risk level) is above the City's appetite/tolerance;
 - ii. The risk treatment actions are outside the control of the City; or
 - iii. The Level in which the risk resides has attempted risk treatment actions, however, their efforts have not been successful.

When a risk has been escalated, management of the risk has not been transferred per se as the consequences will still impact on the area concerned. That said, the treatment of all or part of the risk has been transferred to Line Management. In the case where a risk has been escalated, Line Management is to maintain active visibility on the progress of actions and report back to their Directorate (or when relevant EMT) at regular intervals. More guidance on Risk Escalation is detailed in section 7.5.

The overarching principles in relation to risk transfer/sharing is that if the City owns all or part of the Consequences it still owns the risk.

7.3.1.4 Accept/Retain

Risks are accepted or retained for a number of reasons:

- i. There are no treatment options available (i.e. the risk event is outside City's sphere of influence);
- ii. The level of the risk is so low that it does not warrant treatment; or
- iii. Risk treatment would cost more than the consequences of the risk (but not just in dollar terms).

Where a decision to accept a risk is taken, the risk is still to be recorded in the Risk Register along with the reasons behind the decision not to treat the risk and must include details of who accepted the decision to accept the risk.

Risk acceptance may only be undertaken in line with the risk acceptance criteria detailed in section 4.4.

7.4 Cost Effectiveness of Risk Treatments

Determining whether a risk is cost effective or not is not as simple as identifying that the Consequence is \$40,000 and to treat the risk would cost \$80,000. **Cost effectiveness in relation to risk treatment is not simply an issue of cost.**

A risk may have no financial impacts at all, however may have other Major or Catastrophic consequences, particularly in relation to Safety or Reputation. In such cases, it may be prudent to still treat the risk to reduce the consequences against these consequence categories, thus reducing the risk level to within the appetite of the City.

That is why it is absolutely vital that risks are assessed against all consequence categories. If risks are not fully assessed, it is difficult, if not impossible, to conduct an assessment of cost effectiveness.

7.4.1 Residual Risk

Residual risk is the risk level that remains after risk treatment activities have been completed. After determining the risk treatments for each risk, the risk is to be reassessed to determine the post-mitigation risk level. It should be noted, however, that the risk does not reach the residual level of risk until **after** all mitigation actions have been completed.

For risks where the decision is taken to accept the risk, the residual risk level (i.e. post-mitigation) will be the same as the pre-mitigation risk level.

7.5 Risk Escalation

The escalation of risk to the party best able to deal with it or to the appropriate level for acceptance of a risk beyond the organisation's risk appetite is a fundamental foundation of the risk management process. Not all risks can be treated at a Department level, however, without a structured and documented escalation process, personnel at that level may be put in a position where they feel they have to accept a risk beyond their control, authority or accountability.

To that end, the Risk Escalation process for City is provided at **Annex G**. The proforma to be used as part of this process is attached at **Annex H**.

The risk management escalation process is illustrated as follows:

7.6 Contingency Plans

Contingency Plans are plans that are developed to deal with the risk if it eventuates, i.e. if the risk event occurs. Essentially, the main benefit of developing a Contingency Plan is to ensure that some consideration has been taken at an early stage as to what the strategy will be to recover from the situation and to minimise the impact.

In essence, developing Contingency Plans allows the City to be proactive in dealing with Risks prior to them arising.

It should be noted that if a Contingency Plan is developed it needs to be costed and will form part of the consequence rating for the risk (for example if the risk eventuates, the cost of a Civic Centre closure for a protracted period of time needs to be factored amongst the Consequences).

As a general rule, Contingency Plans should be developed for risks with a pre-mitigation risk score of High or Extreme, regardless of the post-mitigation (residual risk) score.

7.7 Accountability and Responsibility

To ensure that accountability and responsibility is part of the risk management framework, it is important that all City employees understand their roles and responsibilities.

The framework adopted by the City automatically allows accountability and responsibility to be delegated through the processes required to implement risk management. The risk management plans at section 7.1 require the nomination of responsible employees and ensures that they understand what is required from them. This level of accountability is then brought to the next level of authority within the City through the reporting process of section 8.3. Monitoring within the reporting framework allows continuous accountability for larger activities/projects, while risk management linkages to Strategic and Corporate business plans and budgets (section 2.2) ensure that EMT is aware of both successful and unsuccessful risk management on an organisation-wide basis, when actual key performance indicators and related results are reported against the plan.

Refer to Appendix B for Roles & Responsibilities

7.8 Risk Documentation and Maintenance

The preparation, maintenance and retention of risk management documentation has several advantages. In summary it allows:

- a) accountability and support for decisions taken;
- b) subsequent reviews to be completed to consider the effectiveness of risk management plans;

- c) reviews to highlight good and poor results to ensure all employee within the City learn from the collective risk management experiences of the entire organisation;
- d) documentation to be used to assist with the management of future similar projects, activities, work groups, etc.;
- e) communication between all interested parties; for example:
 - i. Risk Management Committee
 - ii. Safety Committee
 - iii. EMT
 - iv. Audit Committee
 - v. Council
- f) later justification for actions taken if project activity is not as successful as planned;
- g) all members of a risk management team to understand their role, the strategy adopted and the outcomes expected.

This communication process allows for continued accountability and responsibility (section 2.2). All risk management plans require documentation and must be retained.

8. Monitoring and Review

8.1 The Monitoring and Review Process

To support the risk management system at the City and Department level, it is necessary to have a process of monitoring and review in place.

This ensures that the summarised information presented to senior personnel is accurate, complete and based on latest available data.

Ongoing review is required to ensure that management and treatment plans remain relevant. Factors impacting upon risk assessments and control practices can also change and therefore the risk management cycle should be repeated at regular intervals to ensure continued effective risk management.

As noted in section 7.1, risk management plans require the relevant line management to document monitoring plans and to be held accountable for these commitments.

8.2 Methods of Review

Monitoring and review procedures should be determined as part of the risk management plan. As a guide, some possible methods of review include the following options:

- a) self assessment;
- b) physical inspections;
- c) checking and monitoring success of actions and the extent to which the risk remains;

- d) audit and reassessment of risk to achieving specified objectives.

Reviews must be undertaken as per the following timeframes,

Risk Level	Reviewed (by Risk Owner)
Extreme	Weekly
High	Monthly
Moderate	6 Monthly
Low	Annually

It should be noted that when there is a significant change to circumstances, all risks should be reviewed at that time. Examples of the types of changes that would trigger a full review include (but are not limited to):

- i. Changes to Key personnel;
- ii. Significant changes to Management plan;
- iii. Significant changes to structure; and
- iv. Changes to governing Legislation.

Conducting such reviews will ensure that the Risk Register remains current.

8.2.1 Retiring Risks

Risks are to be retired after the chance of something happening has clearly passed. It is important, however, that appropriate approval is provided (and recorded in the Risk Register) when a risk is to be retired.

The following table provides the approval authority for the retirement of risks:

Risk Level	Authority Level
Extreme Risk	CEO
High Risks	CEO
Medium Risks	Department Manager
Low Risks	Department Manager

Approval for Retirement of Risks

It should be noted, however, that within a City context very few risks will be retired. Risks are not to be retired simply because no treatment is required or treatments have already been implemented and the risk has reached its target level.

Examples of risks that could be retired include risks associated with one off Events or Projects with defined start and end dates.

8.3 Review and Reporting

8.4 Risk Register

A critical element for any Risk Management Program is the recording of risks. Risks that are not recorded are not able to be managed and the risk exposure of City is unlikely to be reduced. The most effective means of capturing risk is through the use of a Risk Register.

The Risk Register captures all of the information necessary to ensure the risk can be effectively managed. An effective Risk Register follows the Risk Management Process as defined in the Standard and allows for the capture of all identified risks, the controls and their effectiveness, the assessed risk level, the treatment strategy and individual treatment actions.

In the case of City, Risk Registers will be informed by a number of other Legislated/ regulated/mandated registers such as:

- i. Hazard Register;
- ii. Asbestos Register;
- iii. Chemicals Register;
- iv. Electrical Goods Register;
- v. Asset Register; and
- vi. Incident Register.

8.5 Risk Reporting within City

In order to ensure the ongoing maintenance and effectiveness of the Risk Management Program, a number of reports will be generated. These reports are as follows:

- i. Monthly Risk Report to EMT; and
- ii. Quarterly Risk Report to Audit Committee.
- iii. Annual Risk Report to Council
- iv. 2 yearly comprehensive Risk Report to Audit Committee

These reports are discussed in greater detail below.

8.6 Monthly Risk Report to EMT

The monthly Risk Report is to be provided by each Department to Governance & Risk. Governance & Risk shall then consolidate a summary risk report that shall be presented to EMT. The aim of the report is to provide information to the EMT in relation to compliance against City risk management requirements.

- a) The compilation of the report is not arduous and should take only a few minutes to complete.
- b) The format for the Monthly Risk Report is provided at **Annex E**.

8.7 Quarterly Risk Report to the Audit Committee

The Risk Management Committee will provide a quarterly report to the Council Audit Committee (through EMT) on the status of risk management across the City.

The format for the Quarterly Risk Report is provided at **Annex F**.

8.8 Annual Risk Report to Council

The Risk Management Committee shall provide an annual report to Council (through EMT) on the overall status of risk management across the City.

8.9 2 yearly comprehensive Risk Report to Audit Committee

The Risk Management Committee shall provide a biannual (2 years) report to the Audit Committee (through EMT) on the overall status of risk management across the City. The aim of this report is to ensure compliance with Local Government (Audit) Regulations 1996 Regulation 17 which requires the CEO to report on the effectiveness of the City's risk management systems, internal controls and legislative compliance.

9. Communication and Consultation

Communication of risk and consultation with the stakeholder community are essential to supporting sound risk management decisions.

The activities, being conducted within the City are diverse and at times complex and involve multiple (and diverse) stakeholders. As such, the communication and consultation processes must be effective in providing visibility to all stakeholders of the risks involved in the conduct of the activity.

Communication and consultation with an organisation's stakeholder community in relation to Risk Management will:

- i. **Make Risk Management Explicit and Relevant.** Discussing with stakeholders and involving them in all aspects of the Risk Management process makes Risk Management a conscious and formal discipline.
- ii. **Add Value to the City.** Sharing information and perspectives on risk across the stakeholder community will help to create organisational coherence, which is particularly relevant given the complexity and range of the activities undertaken within the City.
- iii. **Integrate Multiple Perspectives.** Since stakeholders can have a significant impact on Risk Management activities, it is important that their perceptions of risk be identified and recorded and the underlying reasons for them understood and addressed.
- iv. **Develop Trust.** Through communication and consultation, the organisation will develop an association with its stakeholder community and, in doing so, establish relationships based on trust.
- v. **Enhance Risk Assessment.** Utilising stakeholder experience and expertise will often improve the understanding of the risk.
- vi. **Facilitate Effective Risk Treatment.** Stakeholder experience and expertise are crucial in developing treatments that will be effective. Including the stakeholder community in the Risk Management process will also allow for the allocation of treatments to the most appropriate party, be it within or outside of the City.

9.1 Stakeholder Management

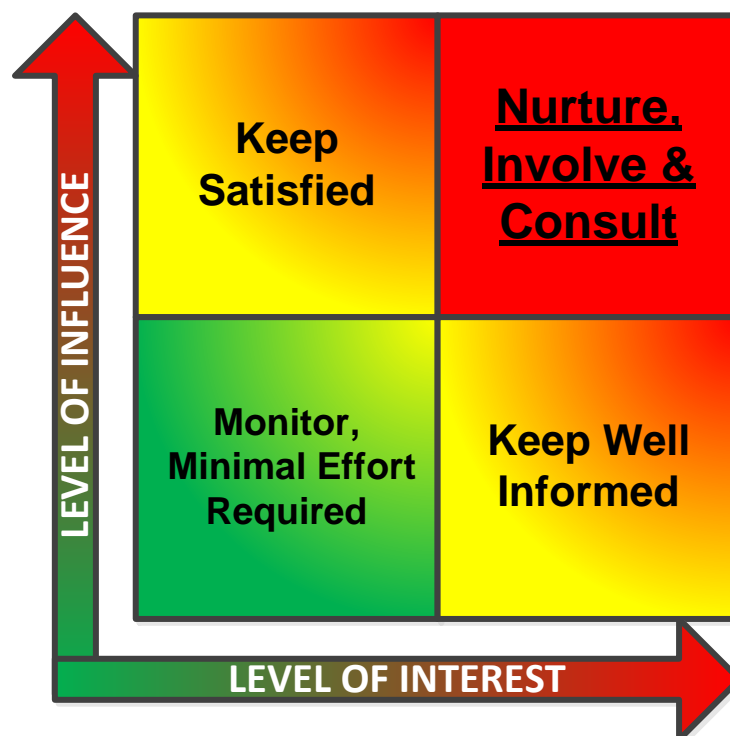
An organisation's stakeholders are those who may affect, be affected by, or perceive themselves to be affected by the City. Identifying and capturing stakeholder needs, positions, issues and concerns will help to understand the stakeholder and will assist with the development of communication strategies. It will also provide the basis upon which risks associated with dealing with the particular stakeholder can be identified.

Stakeholders fall into two categories:

- i. **Primary Stakeholder.** Primary stakeholders are those with a significant amount of influence in relation to the City. Examples of primary stakeholders include (but are not limited to): internal staff; EMT; Contractors etc.
- ii. **Secondary Stakeholder.** Secondary stakeholders are stakeholders who have less in relation to influence but demonstrate an interest in the City. Examples of City secondary stakeholders include (but are not limited to): sub-contractors, visitors, and members of the public, and Media.

Each stakeholder will have their own interest in, and perceptions of the City. They will also have a specific level of power to influence the outcomes and conduct of the City's activities to satisfy their expectations. If their needs are not met, they could become a source of risk for the City and undermine the capacity of the City to deliver its outcomes.

The level of communication the City has with each of these stakeholder groups will be determined by their level of interest and/or influence, as detailed below:



Stakeholder Communication Requirements

To effectively manage City stakeholders it is important to:

- i. Know **who** they are;
- ii. Consult with, identify and agree on **expectations**;

- iii. **Prioritise** these stakeholders in order to manage stakeholder expectations; and
- iv. **Integrate** stakeholder risks and opportunities into the Risk Register.

All parts of the City are to identify and prioritise their stakeholder community and through their engagement programs ensure that all of their expectations are identified and agreed.

9.2 Special Requirements for Communication with Health and Safety Representatives

The Occupational Safety & Health Act 1984 Section 19 (c) requires the City consult so far as is reasonably practicable, with employees who carry out work, who are (or are likely to be) directly affected by a work health and safety matter. If the employees are represented by a safety and health representative, the consultation must involve that representative.

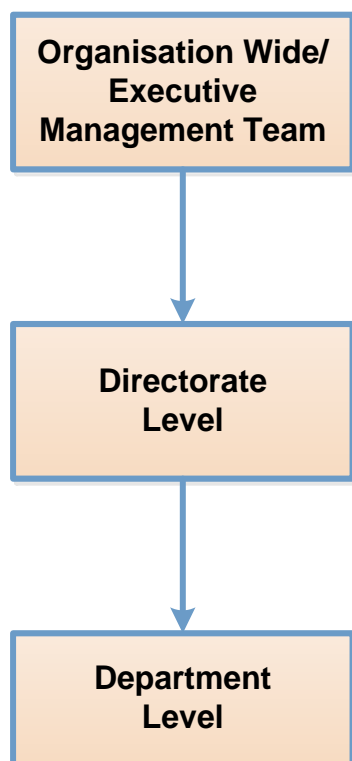
Consultation involves sharing of information, giving employees a reasonable opportunity to express views and taking those views into account before making decisions on health and safety matters.

Consultation with employees and their safety and health representative is required at each step of the risk management process. By drawing on the experience, knowledge and ideas of your workers you are more likely to identify all hazards and choose effective control measures.

10. Implementation Agenda

10.1 Approach

Once a standard risk management process has been developed, it must then be implemented throughout the City. At the highest level this process involves three key phases summarised below.



The City’s Executive Management Team implements the risk management process at the organisation wide level. An agreed understanding and ownership of risk management is achieved, and endorsement is gained for preparing an organisation wide view of the City’s strategic risks. An organisation wide risk profile and management plan is prepared with accountabilities for broad areas of risk and their treatment identified and agreed. Organisation wide risk management strategies may be coordinated at this level. This level also has responsibility for regular reporting to the City.

Under the leadership of respective Directors, each department develops their own risk profile and risk management plans. Organisation wide and departmental level initiatives to address risk are implemented through department plans, programs and projects. Departments will report risk management progress to the organisation wide level annually or as required.

Using the approach outlined in this framework, ‘local’ risk profiles and management plans are developed for projects, programs and activities. These meet local needs and provide detailed support for organisation/executive level risk management. Local initiatives to address risk, and relevant organisation risk treatments, can be implemented through project plans. Departments will report to the directorate annually or as required.

The City's approach to the implementation of risk management is to focus on the areas in priority order. This approach is based upon an initial rating of the City's risks and risk management practices on an organisation-wide basis so as to focus on areas of key importance. This ensures resources are focused on key areas or high risk areas that require the most urgent risk management.

11. Risk Management Knowledge & Skills Development

The knowledge and skill development component of the Risk Management Framework is aimed at increasing the understanding and skills of managers, team leaders and employees for the application of their risk management accountabilities and responsibilities.

As the approach to risk management matures other learning related activities will be provided.

The initial learning strategy has been 'built up' over time and targeted increased awareness of risk management for all managers, team leaders and employees of the Council commensurate with their responsibilities.

11.1 Raising Awareness

11.1.1 Induction

Staff Induction is currently used to emphasise the responsibilities of all employees to observe and report potential OH&S risks.

In terms of public risk, Induction emphasises that every staff member has a responsibility to themselves, their work colleagues and the community, generally to avoid (and report) risk.

11.1.2 Risk Training

All employees have an annual Learning and Development Plan as well as a biannual corporate training package which when amalgamated then becomes the basis of the Corporate Learning and Development Program. Any specific training needs are noted through this process.

Additionally, a range of general risk management training opportunities are made available to staff as they become available.

11.2 General Awareness

The following approaches are already in place:

- a) All position descriptions emphasise risk management as a corporate responsibility;
- b) Each team agenda will have risk management as a discussion item;
- c) All meetings are minuted and minutes made available to employees; and
- d) Helpful hints on general issues of risk management are publicised on the Intranet.
- e) At least one Managers meeting annually will have a 'risk management' theme

11.3 Methods to Ensure Consistent Application of the Risk Management Framework across the City

The following approaches are already in place or are currently being implemented:

- a) Training will be provided on an 'as required' basis to management and employees with functional

responsibilities for risk management within the City;

- b) Training will focus on policies, procedures and the use of risk management templates;
- c) Use of Risk (when implemented) software is mandatory for all areas of City;
- d) Each area to review risk as per section 8.2
- e) Each area reviewing its Business Continuity Plan at least annually.

12. Business Continuity Management

Business Continuity Planning is an integral part of the City' Risk Management Framework and is undertaken to ensure that stakeholders and the community can rely on the continuation of services from the City, even in times of crisis.

The City has developed a Business Continuity Plan (BCP) that identifies the processes and resources required to ensure we can continue to meet critical objectives under a conceivable disaster.

Business Continuity Management (BCM) involves the following steps:

- a) Perform a risk and vulnerability analysis;
- b) Conduct a business impact analysis;
- c) Develop response strategies/options;
- d) Develop resource requirements;
- e) Develop continuity plans; and
- f) Plan Validation

The steps are similar to, or an extension of, those used during the risk assessment and treatment exercise.

By undertaking BCM analysis while completing a risk assessment, the processes and resources essential to the operations of the City are identified. The risks associated with these processes and resources must therefore receive the highest level of priority for treatment, continuous monitoring and improvement.

The City's BCP is reviewed annually as part of our overall risk management.

Because Information Technology is such an integral but complicated part of the overall BCP, the IT department have a separate but complementary BCP.

NOTE: Refer to the ***City Crisis and Business Continuity Management Procedures Manual*** for greater detail of the process and implementation of BCM within the City

13. Occupational Safety & Health Risk Management

Occupational Safety and Health is a distinct subset of risk management which has legislated risk management functions that must be undertaken. Refer to below the following links to Occupational

Safety and Health Legislation relevant to risk management.

City employees when undertaking Safety related risk functions are to make use of the templates and forms as set out in the Safety Management System and are to ensure that all risk management functions are aligned to the processes and structure as outlines in this risk management framework.

Occupational Safety and Health Act 1984

19. Duties of employers

Occupational Safety and Health Regulations 1996

3.1. Identification of hazards, and assessment and reduction of risks, duties of employer etc. as to

3.32. Risks to be reduced in first instance by means other than protective clothing and equipment

3.38. Atmospheric hazards, duties of employer etc. to identify etc.

3.108. Excavation work, employer etc. to assess means of reducing risks from

3.109. Excavation work, employer etc. to reduce risk from

3.140. Designer of work for commercial client to give client report

3.143. High-risk construction work, safe work method statements required for

4.29. Means of reducing risks in relation to plant

5.15. Risk from exposure to hazardous substance, duties of employer to assess etc

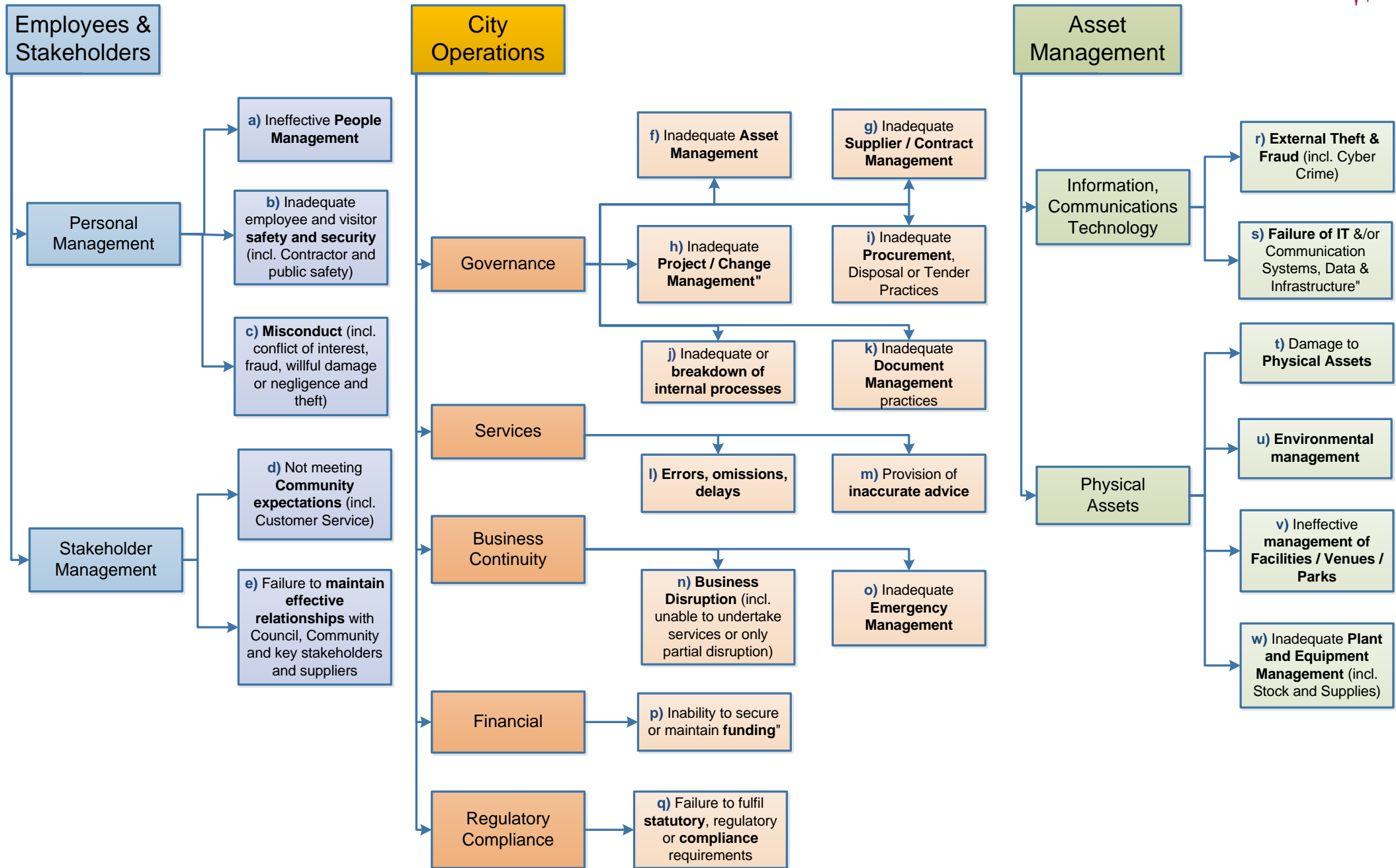
5.22. Monitoring of risk from exposure to hazardous substance, when required etc

5.54. Lead-risk job, employer etc. to assess if work is

Appendix A

Risk Breakdown Structure

To enable the City's risks to be identified, documented, recorded and compared on a consistent basis, a Risk Breakdown Structure has been developed. These groups and areas should be used for all risk identification and recording activities.



RBS Category		Examples of Risks in RBS Category
Employees & Stakeholders	a) Ineffective People Management	Induction, Loss of corporate knowledge, Loss of staff, Performance management, Recruitment/selection, Harassment, Dismissal, Ethics/behaviours
	b) Inadequate employee and visitor safety and security (incl. Contractor and public safety)	Ergonomics, Emergency / Evacuation, Safe work practices, Injury/accidents management Legislation, Stress
	c) Misconduct (incl. conflict of interest, fraud, willful damage or negligence and theft)	Theft, Harassment, Corruption, Negligent action, Conflict of Interest, Probity, Poor Governance, Legislation, CCC or regulatory involvement
	d) Not meeting Community expectations (incl. Customer Service)	Reputation damage, Efficiency, inability to meet community wants
	e) Failure to maintain effective relationships with Council, Community and key stakeholders and suppliers	Community expectations, Media management, Reputation Damage, Community addenda
City Operations	f) Inadequate Asset Management	Asset Knowledge, poor maintenance, budget, user safety, life of asset
	g) Inadequate Supplier / Contract Management	Contract performance, Contractor Insolvency, Document Control Contract Breach or dispute, Variations, cost increase
	h) Inadequate Project / Change Management"	Project management processes, Stakeholder management, Risk Management, Communication, Cost
	i) Inadequate Procurement, Disposal or Tender Practices	Tendering Procedures, Legislation, Poor Governance
	j) Inadequate or breakdown of internal processes	Efficiency, Continuous improvement, Policies and procedures
	k) Inadequate Document Management practices	Security systems, Confidentiality, Policies and procedures, Records management, Data Base access
	l) Errors, omissions, delays	Advice, Customer service, negligence, system breakdowns
	m) Provision of inaccurate advice	Reputation damage, Complaints, Abusive behaviour, claims against City, Decision making
	n) Business Disruption (incl. unable to undertake services or only partial disruption)	Business continuity, ICT Systems operation, Asset Loss, People Loss, Key Supplier Loss, Unable to Access Facilities
	o) Inadequate Emergency Management	Emergency Procedures, Disaster Response and Recovery, Natural disaster

RBS Category		Examples of Risks in RBS Category
City Operations <i>Cont.</i>	p) Inability to secure or maintain funding	Accounts payable, Delegations of authority Budget, Internal controls, Legislation, Audit, Poor Governance
	o) Failure to fulfil statutory, regulatory or compliance requirements	Noncompliance, Fines or action against City, Penalties, Service Termination
Asset Management	r) External Theft & Fraud (incl. Cyber Crime)	Cyber-crime, Identity theft, ICT System security, Leak/ miss use of confidential information
	s) Failure of IT &/or Communication Systems, Data & Infrastructure"	Communication system, Infrastructure, Licenses and agreements, Confidentiality Contingency/recovery, Reporting, Change management
	t) Damage to Physical Assets	Vandalism, Maintenance, driver/user error, programed maintenance
	u) Environmental management	Biodiversity, Bushfire, Climate, Contamination, Compliance, Natural resources
	v) Ineffective management of Facilities / Venues / Parks	Facilities management, Maintenance programs, Cost management, User/community complaints, public safety
	w) Inadequate Plant and Equipment Management (incl. Stock and Supplies)	Stock Management, Servicing and Maintenance

Appendix B

Roles and Responsibilities

Roles and Responsibilities

Role	Responsibility
Council	<ul style="list-style-type: none"> a) Adopt a Risk Management Policy that complies with the requirements of AS/NZS ISO 31000:2009 and to review and amend the Policy in a timely manner and/or as required. b) Be satisfied that risks are identified, managed & controlled appropriately to achieve Council's Strategic Objectives. c) Appoint and resource the Audit Committee. d) Provide adequate budgetary provision for the financing of risk management including approved risk mitigation activities. e) Review Council's risk appetite.
Audit Committee	<ul style="list-style-type: none"> a) Review adequacy and effectiveness of the Risk Management Framework. b) Review risk management policies, procedures and guidelines. c) Review and approve allocation of risk and audit resources in conjunction with the City's Risk Profile. d) Receive reports regarding identified risks/mitigation and their effectiveness from Risk Management Committee. e) Monitor changes to City's risk profile and highlight material changes to Council. f) Review risk management strategies. g) Monitor performance of implementing action plans arising from risk assessments.
Chief Executive Officer	<ul style="list-style-type: none"> a) Adopt the Risk Management Framework for the City. b) Promote the effective management of risk across the City's operations. c) Ensure that Councillors are aware of risk management objectives. d) Has ultimate responsibility for managing risk across the City. e) Responsible for the recognition and adoption of risk management as a key function of the City, and to ensure the inclusion of risk management as a priority within City's Strategic Community, Corporate Business Plans, Annual Report, and other appropriate City documentation. f) Accountability for the appropriate and timely implementation and maintenance of sound risk management practice and processes for strategic and operational risks, to reduce or prevent the adverse effects of risk. g) Demonstrating a commitment to risk management for and by all employees. h) Ensuring resources are appropriately allocated throughout the organisation to meet City's risk management requirements. i) Report to the Audit Committee on risk and mitigation activities.

Role	Responsibility
Directors & Managers	<ul style="list-style-type: none"> a) Managers & Directors are responsible for the implementation of the Risk Management Policy and Framework, and; b) Must make regular risk assessments of performance resources in co-operation with those with employees are carried out; c) Must make regular risk assessments within their area of responsibilities to identify existing or potential risk to their areas performance. d) To develop and manage, in conjunction with managers, a Corporate Risk Register of the City's Strategic and Operational Risks. e) To identify owners for Risks and ensure any Risk treatment plans are being managed effectively by the Risk owners.
Risk Management Committee	<ul style="list-style-type: none"> a) To implement and follow the AS/NZS ISO 31000:2009 Risk Management Standard for the City of Greater Geraldton (CGG). b) Each member will effectively be a "Risk Champion" for their Directorate and bring required focus and attention to the identified Risks of CGG. c) Each member will be advocates for Risk Management principles and reaffirm to colleagues the importance and benefits of effective Risk Management to the City. d) The Chairperson of the Committee will report monthly or as needed to Executive Management Team (EMT) to provide status updates and to escalate specific Risks as appropriate. e) The Chairperson of the Committee will provide a report to the Audit Committee quarterly and to the Council biannually. f) To provide assurance to EMT that the CGG Risk Register(s) is current and Risks are being managed effectively. g) To provide a basis from which to establish a risk-based schedule for internal audits. h) To provide Members with the opportunity to consider Risk Management as an individual development opportunity. i) Assist with the successful completion of the LGIS Organisational Risk Management Project. j) Ensure compliance with Regulation 17, specially section 1(a) risk management
Project Managers	<ul style="list-style-type: none"> a) Ensure that the Council's Risk Management Framework is applied to the projects within their area of responsibility. b) Where the project is considered to materially influence the achievement of Council's Corporate Objectives, ensure that a project risk assessment is undertaken and provided to the Risk Management Committee for endorsement. c) In conjunction with Governance and Risk undertake risk assessments related to 3rd party liability risk and implement prioritised mitigation strategies. d) Ensure that when Contractor insurance is required for a project that the insurance is maintained for the life of the project. e) Undertake risk assessments for all proposed projects in consultation with the relevant stakeholders. f) Ensure design and construction includes agreed features to minimise future risk.

Role	Responsibility
Senior Risk Advisor	<ul style="list-style-type: none"> a) Develop and review policies, manuals and systems to ensure statutory compliance in the mitigation of operational and corporate risks. b) Ensure the development and implementation of the risk assessment and management framework. c) Lead the identification and prioritisation of organisational risks at strategic and operational levels. d) Ensure that appropriate education and training programs are in place to support managers and employees to embrace risk management as a best practice business activity. e) Facilitate and assist operational teams to develop risk management strategies. f) Actively participate in the development of an organisational business continuity plan and test the plan annually to ensure effectiveness. g) Assist scheduling of the risk management committee meetings and agenda. h) Coordinate the risk management committee evaluation of individual Council risk assessments. i) Coordinate the annual risk self-assessment of operations and develop an operational risk management plan to action improvement opportunities identified. j) Manage the best practice audit undertaken by LGIS k) Maintain and annual review the City risk management framework. This includes but is not limited to undertaking, in conjunction with relevant areas, corporate risk assessments to identify and assist with the implementation of internal controls including risk treatment strategies to address risks and link them to corporate and section business plans. l) Prepare reports for executive meetings on risk management matters. m) Maintain the City's Business Continuity Management Plans, Policies and Procedures n) Ensure annual review of Business Continuity Management Plans
Staff with Site Management Oversight	<ul style="list-style-type: none"> a) Report and analyse incidents, damage and hazards occurring at the site. b) In conjunction with the Manager Governance and Risk and the Senior Risk Advisor, develop and manage a contingency plan for the site. c) Encourage the public to respect Council property. d) Ensure appropriate processes are in place to secure all buildings and assets
OH&S Officer(s)	<ul style="list-style-type: none"> a) Develop & facilitate implementation of a Safety Management System throughout the City b) Ensure that the Safety Management System is based on risk management standards and is consistent with the City Risk Management Framework. c) Assist Risk Management Committee in relation to safety related 3rd party risk assessments.

Role	Responsibility
Employees & Contractors	<ul style="list-style-type: none"> • Identify and assess risks associated with personal tasks and activities. Ensure personal compliance with risk management policies, framework and procedures in performance of duties / activities. • Ensure that any hazards identified are escalated to the relevant Line Manager. • Perform duties in a manner that is within an acceptable level of risk to their health and safety, and that of other employees and the community. • Comply with quality assurance procedures where applicable. • Make Risk control and prevention a priority when undertaking tasks. • Report any hazard or incidents as detected to their Manager or the City Responsible Officer (for contractors). • Personal responsibility for sound operational risk management practices within the work environment commensurate with their position. • Undertake risk & opportunity assessments for all proposed projects in consultation with the relevant Manager General Manager.
Committee members	<ul style="list-style-type: none"> • Understand and observe appropriate risk management processes. • Undertake risk assessments for all proposed projects in consultation with the Manager Governance and Risk relevant Manager or General Manager.

APPENDIX C

Risk Assessment Template

APPROACH TO RISK MANAGEMENT

The City's approach to risk management is based on the Risk Management Standard AS/NZS ISO 31000:2009, Risk Management – Principles and Guidelines as outlined in the City's Enterprise Wide Risk Management Framework and Process.

The risk management approach has three key features:

1. Identifying objectives related to projects, activities, programs or business unit functions
2. Identifying the risk associated with these objectives; and
3. Identification of improvement strategies to manage these risks so as to achieve desired objectives.

Essentially the process involves:

- a) The identification of the key risks
- b) The identification of causes of the risk
- c) Identification of the consequences of the risk
- d) Identification of the controls currently in place to prevent the risk from occurring or reducing the impact of the risk
- e) Rating the risk based on the likelihood of the risk occurring and the consequences of the risk
- f) Rating the controls identified according to the strength and effectiveness of the control
- g) Developing risk improvement strategies, to minimise the cause of the risk and to strengthen the current controls.
- h) And development of a risk profile for your risk assessment.

Measure of Likelihood of Risk

LEVEL	DESCRIPTOR	DETAILED DESCRIPTION	OPERATIONAL FREQUENCY	PROJECT FREQUENCY	TRANSITIONAL FREQUENCY
5	Almost Certain	The event is expected to occur in most circumstances	More than once per year	Greater than 90% chance of occurrence	1 in 25,000
4	Likely	The event will probably occur in most circumstances	At least once per year	60% - 90% chance of occurrence	1 in 75,000
3	Possible	The event should occur at some time	At least once in 3 years	40% - 60% chance of occurrence	1 in 250,000
2	Unlikely	The event could occur at some time	At least once in 10 years	10% - 40% chance of occurrence	1 in 750,000
1	Rare	The event may only occur in exceptional circumstances	Less than once in 15 years	Less than 10% chance of occurrence	1 in 1,000,000

Risk Analysis Matrix – Level of Risk

Consequence \ Likelihood		Insignificant	Minor	Moderate	Major	Catastrophic
		1	2	3	4	5
Almost Certain	5	Moderate 5	High 10	High 15	Extreme 20	Extreme 25
Likely	4	Low 4	Moderate 8	High 12	High 16	Extreme 20
Possible	3	Low 3	Moderate 6	Moderate 9	High 12	High 15
Unlikely	2	Low 2	Low 4	Moderate 6	Moderate 8	High 10
Rare	1	Low 1	Low 2	Low 3	Low 4	Moderate 5

Risk Acceptance Criteria

RISK RANK	DESCRIPTOR	CRITERIA FOR RISK ACCEPTANCE	RESPONSIBILITY
Low (1-4)	Acceptable	No Immediate Concern, Risk acceptable with adequate controls, managed by routine procedures and subject to annual monitoring	Operational Manager
Moderate (5-9)	Monitor	Needs Periodic Monitoring, Risk acceptable with adequate controls, managed by specific procedures and subject to semi-annual monitoring	Operational Manager
High (10-16)	Urgent Attention Required	Needs Regular Monitoring, Risk acceptable with excellent controls, managed by senior management / executive and subject to quarterly monitoring	CEO
Extreme (20-25)	Unacceptable	Needs Active Management, Risk only acceptable with excellent controls and all treatment plans to be explored and implemented where possible, managed by highest level of authority and subject to continuous monitoring	CEO / Council

Measure of Consequence of Risk

LEVEL	DESCRIPTOR	SAFETY / HEALTH (Physical)	SAFETY / HEALTH (Psychological)	FINANCIAL IMPACT	SERVICE INTERRUPTION	REPUTATION	ENVIRONMENT	LEGAL & COMPLIANCE
1	Insignificant	Negligible injuries, Full recovery 1 – 3 days	Temporary stress, no leave taken, short term impact with full recovery 1 – 3 days	Organisation Less than \$10,000 Dept. Project 0-2% remaining Budget	No material service interruption, backlog cleared in 2 – 4 hours	Unsubstantiated, low impact, low profile or 'no news' item <i>Example gossip, Facebook item seen by limited persons</i>	Contained, reversible impact managed by on site response <i>Example pick up bag of rubbish</i>	Compliance No noticeable regulatory or statutory impact Legal. Threat of litigation requiring small compensation. Contract. No effect on contract performance.
2	Minor	First aid injuries, full recovery 1 – 3 weeks	Possible Sick leave, short term impact, Full recovery 1-3 weeks	Organisation \$10,000 - \$100,000 Dept. Project 2-5% remaining Budget	Short term temporary interruption – backlog cleared < 1 – 7 days	Substantiated, low impact, low news item <i>Example Local Paper, Everything Geraldton, Facebook item seen by local community</i>	Contained, reversible impact managed by internal response <i>Example pick up trailer of rubbish</i>	Compliance Some temporary non compliances Legal. Single Minor litigation. Contract. Results in meeting between two parties in which contractor expresses concern.
3	Moderate	Medically treated injuries, Full recovery 1 – 3 months	Significant, non-permanent, longer term illness, Full recovery 1-6 months	Organisation \$100,000 - \$1M Dept. Project 5-14% remaining Budget	Medium term temporary interruption backlog cleared by additional resources within < 2 – 4 weeks	Demonstrated public outrage, Substantiated public embarrassment, moderate impact, moderate news profile <i>Example State wide Paper, TV News story, Moderate Facebook item taken up by people outside City</i>	Contained, reversible impact managed by external agencies <i>Example Contractor removal of asbestos sheets</i>	Compliance Short term noncompliance but with significant regulatory requirements imposed Legal. Single Moderate litigation or Numerous Minor Litigations. Contract. Receive verbal advice that, if breaches continue, a default notice may be issued.
4	Major	Lost time or severe injury Possible Partial /full recovery 4 – 12 months	Longer term illness, severe trauma, extended incapacity Possible Partial /full recovery 6 – 12 months	Organisation \$1M - \$9M Dept. Project 15 -20 % remaining Budget	Prolonged interruption of services, additional resources required; performance affected issue resolved within < 4 – 12 weeks	Sustained and high level public outrage, Substantiated public embarrassment, high impact, high news profile, third party actions <i>Example Australia wide Paper, TV News stories, Current Affair etc Significant Facebook item taken up by large numbers of people outside City</i>	Uncontained, reversible impact managed by a coordinated response from external agencies <i>Example truck or train spill of diesel and oil on road reserve/ park</i>	Compliance Noncompliance results in termination of services or imposed penalties Legal. Single Major litigation or numerous Moderate Litigations. Contract. Receive written notice from the contractor threatening termination if not rectified.
5	Catastrophic	Fatality, permanent disability	Death, permanent severely disabling illness, e.g. Post-Traumatic Stress Disorder	Organisation Greater than \$10M Dept. Project Greater than 20% remaining Budget	Indeterminate prolonged interruption of services that impacts on Public safety and core services– non-performance or termination of service	Substantiated, public embarrassment, very high multiple impacts, high widespread multiple news profile, third party actions, Likely to lead to the dismissal of Council/ Councillors or Executive Staff. <i>Example World Wide News, TV News stories, Current Affair, 60 Minutes, Widespread Facebook item taken up by vast numbers of people outside City</i>	Uncontained, irreversible impact <i>Example Ship runs aground and spills oil along City coast line, ground water supple exhausted or rendered unusable</i>	Compliance Noncompliance results in litigation, criminal charges or significant damages or penalties Legal. Numerous Major Litigations. Contract. Termination of Contract for default.

Controls Assessment

		Does the control address the risk effectively?	Is the control officially documented and communicated?	Is the control in operation and applied consistently?
Answer / Response	Yes	1	1	1
	Partly	3	2	2
	No	6	3	3
	Add Scores	+	+	= ____

For example, a control that addresses the risk, is officially documented, and is in operation would score 3 (1+1+1), a perfect score. Section 6 sets out why the above scores are integral to the risk management ranking process.

To help employee to describe and attribute a control rating to the scores derived from the control practices matrix, the following indicative ratings can also be used:

SCORE	RATING	DESCRIPTION
7-12	Poor	At best, control addresses risk, but is not documented or in operation; at worst, control does not address risk and is neither documented nor in operation
5-6	Fair	Control addresses risk at least partly, but documentation and/or operation of control could be improved
4	Good	Control addresses risk but documentation and/or operation of control could be improved
3	Excellent	Control addresses risk, is officially documented and in operation

See over page for table

Risk Assessment (Insert Title)

Summary of Risk Profile for Risk Assessment

Transfer your risk scores to the risk profile matrix upon completion to track your progress.

Risk ID N#	Risk Identified
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	
15	

Rating	Score	Risk Profile Map									
Extreme	25										
	20										
High	16										
	15										
	12										
	10										
Moderate	9										
	8										
	6										
	5										
Low	4										
	3										
	2										
	1										
Control Value		3	4	5	6	7	8	9	10	11	12
Control Rating		Exc.	Good	Fair	Poor						

Risk N#	Risk Identification	Cause <i>Risk Source</i>	Resulting In	RBS Category	Consequence Category	Consequence	Likelihood	Risk Rating	Existing Controls	Existing Control Rating	Risk Options	Treatment
ID Number	What event or incident could happen	What causes risk to happen?	What are the consequences to the Council?	What risk breakdown category does the risk align to	What consequence category as defined in the consequence matrix is the risk exposed to. Note a risk may have multiple consequences across different categories	What consequence level is the risk? Note a risk may have multiple consequences across different categories	What likelihood rating is the risk? Note a risk may have multiple likelihoods across different consequence categories	Combination of identified risk consequence and likelihood rating Note highest Risk Rating becomes overall risk rating	What have we in place to prevent the risk from happening?	What is the overall risk control rating as calculated in the controls assessment	What more do we need to do to: - prevent risk from happening - reduce or get rid of causes - strengthen controls?	
37	Example: There is a risk that a member of public could become aggressive towards CGG staff	1 High volume of drug and alcohol affected persons in the CBD 2 Aggressive members of the public generally due to fines received i.e. parking or dog infringement	1 Employee assaulted 2 Employee Stress 3 Increased Employee absents 4 Other members of the public being assaulted 5 Reduced customer attending City office due to safety issues	b) Inadequate employee and visitor safety and security (incl. Contractor and public safety)	Safety & Health	3 – Moderate	3 – Possible	Moderate 9	CCTV, Customer handling procedures	5–Fair	There are existing procedures in place that outline CGG staff response to aggressive persons.	
1												
2												
3												
4												
5												
6												

Risk N#	Risk Identification	Cause <i>Risk Source</i>	Resulting In	RBS Category	Consequence Category	Consequence	Likelihood	Risk Rating	Existing Controls	Existing Control Rating	Risk Options	Treatment
7												
8												
9												
10												
11												
12												
13												
14												
15												

APPENDIX D

Risk Management Plan Template

See Link to Intranet,

to be inserted at a later date

APPENDIX E

Monthly Risk Report Template

MONTHLY RISK REPORT FOR (insert Department)

As at (insert date)

Extreme and High Risks listed below

Risk No	Risk Name	Pre Mitigation Risk Level	Target Risk Level	Current Risk Level	Treatment Actions Completed Last Month	Treatment Actions Commenced Last Month	Treatment Actions Yet to Commence	Has the Risk been Escalated	Date of Escalation	Comments

Report Prepared by: (Insert Name & Title)

APPENDIX F

Quarterly Risk Report Template

QUARTERLY RISK REPORT FOR (insert Department)

As at (insert date)

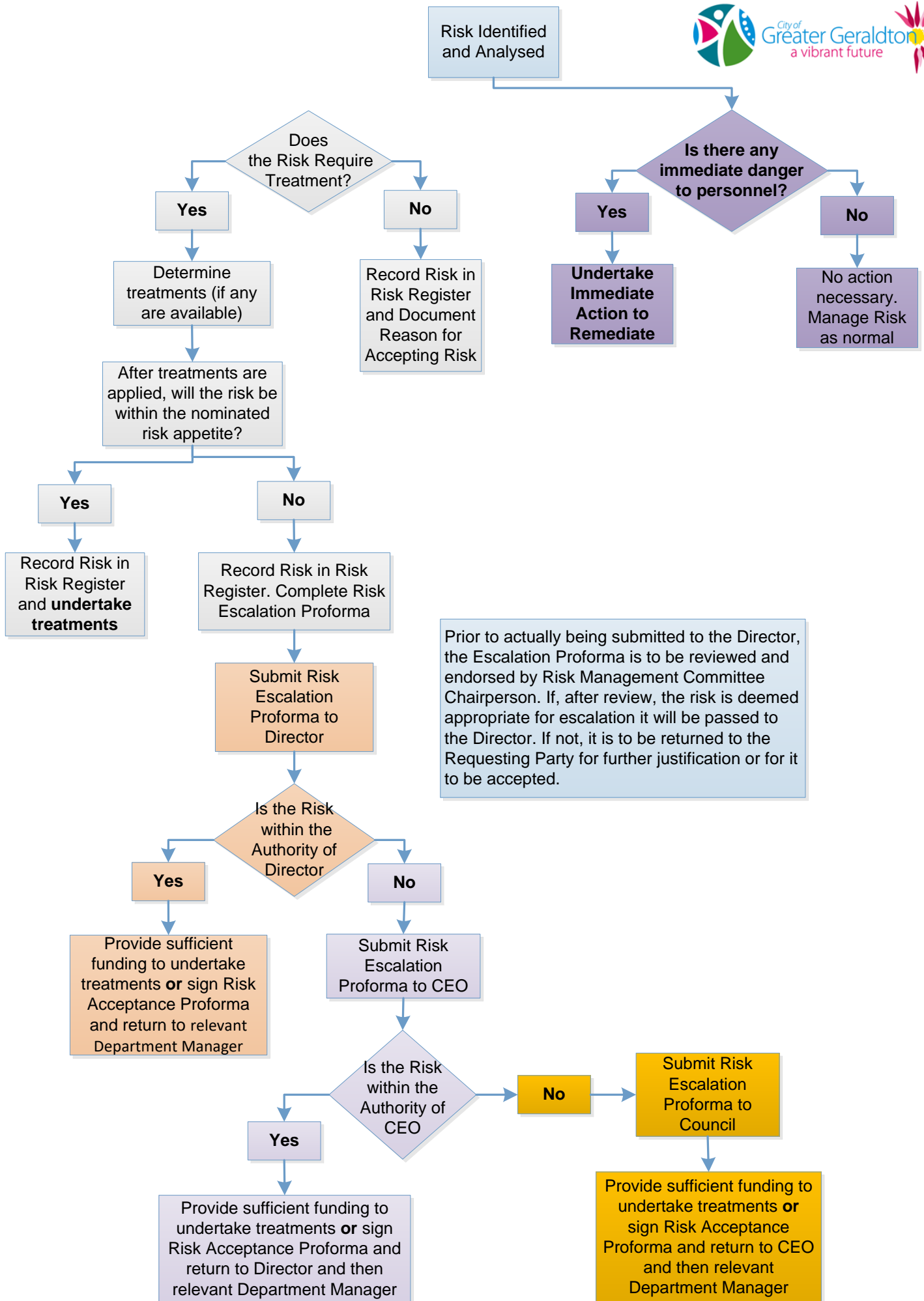
Extreme and High Risks

Risk No	Risk Name	Pre Mitigation Risk Level	Target Risk Level	Current Risk Level	Summary of Treatment Action Status	Has the Risk been Escalated?	Date of Escalation	Comments

Report Prepared by: (Insert Name & Title)

APPENDIX G

Risk Escalation Process



APPENDIX H

Risk Escalation Form

RESIDUAL RISK ESCALATION PROFORMA

Purpose of the Form

The purpose of the City Residual Risk Escalation Proforma is to escalate residual risks that are outside the tolerance levels or the control/authority/delegation of Departments within City to retain. The form is used to ensure that accountability for the retention of a risk resides at the appropriate level within City.

This form will also provide a record of the employee within the City who has accepted retention of the risk and the reasons behind that acceptance and provides a robust audit trail that will provide protection for responsible officers should the risk eventuate.

Instructions for Completion

The form is simple to complete but must currently be submitted/escalated in hard copy form in order to ensure an audit trail of signatures.

Note a eform or SharePoint document may be developed in place of this document in future.

The form must be submitted to Risk Management Committee Chairperson upon completion by the appropriate Department manager for scrutiny/sign-off prior to being submitted to the next appropriate level.

Once completed, the form is to be scanned with copies provided to:

- a. The Department that raised the risk;
- b. The Director;
- c. When Relevant the CEO; and
- d. The Risk Management Committee Chairperson.

RISK DETAILS

Risk Description

Risk Number:	
Risk Name:	
Risk Causes:	
Resulting In:	
Risk Owner:	

Risk Assessment

Likelihood		
Justification for Assessed Likelihood		
Consequence Ratings:		
Impact Area	Rating	Justification (for High / Extreme only)
Safety & Health <i>Phy</i>		
Safety & Health <i>Psy</i>		
Services Interruption		
Reputation		
Financial Impact		
Environment		
Legal & Compliance		

Assessed risk level (without treatment)	
--	--

Is the risk level within City risk tolerance (Circle One): **Yes** **No**

Stabilising Actions

Have any actions been taken to stabilise the situation and minimise/eliminate the chance of harm?

Yes

No

If the answer is yes, please describe these actions below:

Risk Treatments

Are there any treatment actions that can reduce the risk? Yes No

If yes, complete *Treatment Actions* section below. If no, complete *Assessment of Tolerance* Section below:

Proposed Treatment Actions		
Action	Approximate Cost	Within Delegation of Manager (Yes/No)
		Yes No Unknown
		Yes No Unknown
		Yes No Unknown
		Yes No Unknown
		Yes No Unknown
		Yes No Unknown
		Yes No Unknown
		Yes No Unknown
		Yes No Unknown

Assessment of Tolerance

Assessed residual risk level (with treatments that are within the delegation of Manager)	
--	--

After these treatments is the residual risk level within City risk tolerance? Yes No

Assessed residual risk level (with treatments that are outside the delegation of Manager)	
---	--

After these treatments is the residual risk level within DSO risk tolerances? Yes No

If the answer is 'no' to either of the questions listed above, the residual risk is to be escalated to the functional Director.

RISK ESCALATION

Manager

Name:	
Email:	
Phone Number:	

Are risk treatments within your delegation planned for completion?	Yes	No
If the answer is no, provide explanation.		
After treatments within your delegation is the residual risk within City risk tolerances?	Yes	No
Does the residual risk require escalation	Yes	No
Signature		
Date		

Review/Endorsement by Risk Management Committee Chairperson

In your opinion, do you believe the assessment to be reflective of the residual risk level If yes - submit to appropriate Director/ CEO If no - return to Department	Yes	No
Reasons/Justification:		
Signature		
Date		

Director

Name:	
Email:	
Phone Number:	

Are the proposed residual risk treatments within your delegation?	Yes	No
If the answer is no, provide explanation.		
After treatments within your delegation is the residual risk within City risk tolerances?	Yes	No
Do you accept retention of this residual risk?	Yes	No
Justification <i>Note: If you do have the authority to accept retention of this risk and choose to accept the risk, justification is required.</i> <i>If you have the authority and choose not to accept the risk, justification is required</i>		
Does the residual risk require escalation to the CEO?	Yes	No
Signature		
Date		

CEO

Are the proposed risk treatments within your delegation?		Yes	No
If the answer is no, provide explanation			
After treatments within your delegation, is the risk within City risk tolerances?		Yes	No
If no, do you have the authority to accept retention of this residual risk?		Yes	No
Do you accept retention of this residual risk?		Yes	No
Please provide explanation. <i>Note: If you do have the authority to accept retention of this risk and choose to accept the risk, justification is requested.</i> <i>If you have the authority and choose not to accept the risk, justification is requested</i>			
Does the residual risk require escalation to Council?		Yes	No
Signature			
Date			

If the residual risk requires escalation above CEO, a formal brief note is to be developed for Council with this Escalation Form as an Attachment.

The brief is to include as a recommendation that the residual risk be retained or that appropriate funding be sought for treatment.

Appendix I

Glossary of Terms

Glossary of Terms

Terms	Definitions
Assurance	A process that provides confidence that planned objectives will be achieved within an acceptable degree of residual risk. An evaluated opinion, based on evidence gained from review, on the organisation's governance, risk management and internal control framework.
Audit	The formal examination of the CGG accounts, financial situation, internal controls, systems, policies and processes and compliance with applicable terms, laws, and regulations.
Compliance	A state of being in accordance with established internal rules, guidelines, policies, specifications, social ethics and norms and legislation.
Consequence	The outcome of an event affecting objectives expressed qualitatively or quantitatively, being a loss, injury, disadvantage or gain. There may be a range of possible outcomes associated with an event.
Contingency	Contingency is an allowance for future increases to estimated costs for project cost elements and is the aggregate of amounts (if any) included in the Project Approval: <ul style="list-style-type: none"> to meet the assessed risk of project acquisition cost increases that may arise as a result of underestimates due to inherent cost uncertainties; to meet the residual project risk after all planned risk mitigation/elimination/treatment measures; and to meet 'unknown unknowns'.
Contingency Plan	Contingency Plans are plans that are developed to deal with the risk if it eventuates, i.e. if the risk event occurs a predefined set of actions will be implemented.
Controls	All the policies, procedures, practices and processes in place to provide reasonable assurance of the management of the City's risks.
Control Self-Assessment	A formal assurance activity whereby managers make a formal analysis of risks and controls and identify key controls that collectively confirm acceptable operation. These controls are then formally checked and reported on a regular basis.
Corporate Governance	All the principles, policies, management systems and structures by which the City is directed, managed and controlled.
Cost	Cost of activities, both direct and indirect, involving any negative impact, including money, time, labour, disruption, goodwill, political and intangible losses

Terms	Definitions
Decision tree	A method of breaking down events visually into smaller, more manageable steps. These steps are represented as branches on a “tree” with alternative decisions and options and steps leading to various potential outcomes. Decision trees can be useful during risk identification, scenario analysis and the evaluation of risk treatment options.
Enterprise Wide Risk Management	The culture, processes and structures that are directed towards the effective management of potential opportunities and adverse effects
Environment	An incident or situation, that occurs in a particular place during a particular interval of time
Event	An occurrence or change of a particular set of circumstances
Frequency	A measure of the rate of occurrence of an event expressed as the number of occurrences of an event in a given time (see also Likelihood and Probability)
Hazard	A source of potential harm or a situation with a potential to cause loss
Inherent Risk	A measure of risk in its natural state (i.e. without any specific controls in place); i.e. where the factors preventing its occurrence or limiting its impact are largely outside the control of an organisation. A risk that is impossible to manage or transfer away.
Insurable Risk	A risk that can be treated via the application of insurance as a risk financing technique.
Level of risk	The magnitude of a risk or combination of risks, expressed in terms of the combination of consequences and their likelihood
Likelihood	Used as a qualitative description of probability or frequency of something happening
Loss	Any negative consequence, financial or otherwise
Monitor	To check, supervise, observe critically, or record the progress of an activity, action or system on a regular basis in order to identify change from the performance level required or expected
Operational Risks	Operational risks are associated with the development and implementation of operational plans or the processes, functions or activities of the City. They are the risks associated with your normal business functions. Operational risks should be assessed by the parties familiar with the particular function or service with which the risks are associated.
Project Risks	Project risks are associated with specific projects or discreet initiatives. All projects will go through a life cycle, i.e. conception to planning, scoping, contracting, design, construction, testing/commissioning, hand-over and operation. Project risks exist at every stage, and they need to be identified and managed to ensure the successful completion of the project.
Residual Risk	The remaining level of risk after risk treatment measures have been taken

Terms	Definitions
Risk	The effect of uncertainty of the City achieving its objectives. It is measured in terms of consequences and likelihood.
Risk Acceptance	An informed decision to accept the consequences and the likelihood of a particular risk.
Risk Analysis	A process to comprehend the nature of risk and to determine the level of risk
Risk Assessment	The overall process of risk identification, risk analysis and risk evaluation
Risk Avoidance	An informed decision not to become involved in, or to withdraw from, a risk situation.
Risk Control	The part of risk management that involves the implementation of policies, standards, procedures and physical changes to eliminate or minimise adverse risks
Risk Control	A relative assessment of actual level of control that is currently present and effective Effectiveness compared with that which is reasonably achievable for a particular risk.
Risk Evaluation	The process used to determine risk management priorities by comparing the level of risk against predetermined standards, target risk levels or other criteria
Risk Financing	The methods applied to fund risk treatment and the financial consequences of risk
Risk Identification	The process of finding, recognising and describing risks
Risk Level	The level of risk calculated as a function of likelihood and consequence
Risk Management	Coordinated activities to direct and control the City with regard to risk
Risk Management Framework	The components that provide the foundations and organisational arrangements for designing, implementing, monitoring, reviewing and continually improving risk management throughout the organisation
Risk Management Plan	The product of documenting the steps and results of the risk management framework and process. Risk Management Plans may apply to specific the City business units, activities or projects. These Plans demonstrate that the process has been undertaken properly, and need to contain information as specified to the appropriate level of detail.
Risk Management Policy	A statement of the overall intention and direction of the City related to risk management
Risk Management Process	The systematic application of management policies, procedures and practices to the activities of communicating, consulting, establishing the context, identifying, analysing, evaluating, treating, monitoring and reviewing risk
Risk Owner	The City officer with the accountability and authority to manage a risk

Terms	Definitions
Risk Profile	The description of any set of risks. NOTE The set of risks can contain those that relate to the whole organization, part of the organization, or as otherwise defined.
Risk Reduction	A selective application of appropriate techniques and management principles to reduce either likelihood of an occurrence or its consequences, or both
Risk Register	A system or file that holds all information on identifying and managing a risk
Risk Retention	Intentionally or unintentionally retaining the responsibility for loss or financial burden of loss within the organisation
Risk Sharing	Sharing with another party the burden of loss, or benefit of gain from a particular risk
Risk Source	Element which alone or in combination has the intrinsic potential to give rise to risk. A risk source can be tangible or intangible.
Risk Transfer	Shifting the responsibility or burden for loss to another party through legislation, contract, insurance or other means. Risk transfer can also refer to shifting a physical risk or part thereof elsewhere.
Risk Treatment	Selection and implementation of appropriate options for dealing with risk
Stakeholders	Those people and organisations who may affect, be affected by, or perceive themselves to be affected by a decision or activity
Strategic Risk	Strategic risks concern the whole of the agency. They are the risks associated with long-term organisational objectives and the means by which those objectives will be achieved. Strategic risk assessment is normally conducted at a Board or Executive level and is most effective when integrated with the strategic planning process.
The Standard	AS/NZS ISO 31000:2009, Risk Management – Principles and Guidelines Standards Australia.

Appendix J

Version Control

Version N#	Date	Comment	Reference
V 0.1,	23/01/12,	First draft updated following C Wood i.e. Risk Appetite & Tolerance Policy updated and attached, minor document changes.	
V 0.2,	6/2/12	Draft updated following reviewed by C Wood i.e. RMWG ToR updated	
V 0.3,	8/2/12	Draft updated following EMT meeting review i.e. RMWG ToR updated, added CGG Operational Policy cover page and document control	
V 0.4	14/01/15	Complete rewrite of Framework to bring in line with Dept of Local Government & Communities Guidelines and AS NZS 31000:2009 Risk Management Standard	

Appendix K

References

CGG CP-006 – Risk Management Policy

CGG CP-008 Occupational Health & Safety Policy

CGG CP- 038 CGG Risk Appetite &Tolerance Policy

CGG Risk Management Committee Terms of Reference

AS/NZS ISO 31000:2009 Risk Management Principles & Guidelines

AS/NZS ISO 31010:2009 Risk Assessment Techniques

HB 158-2010 Delivering assurance based on ISO 31000:2009 - Risk management - Principles and guidelines

HB 327:2010 Communicating and Consulting about Risk

AS 8000 - 8004: 2003 Australian Corporate Governance Standards

AS/NZS 4801 (Managing Safety and Health)

AS/NZS 5050:2010 Business continuity - Managing disruption-related risk

AS/NZS IEC 62198:2015 Managing risk in projects—Application guidelines

Department of Local Government & Communities Risk Management Resources

RiskCover WA Government Risk Management Guidelines



Civic Centre



Civic Centre Crisis Management & Business Continuity Response Plan

February 2015

City of Greater Geraldton

Hard copies of this plan are located at:

- Civic Centre reception
- Civic Centre – Western exit

- Library
- CEO's Office
- CEO's vehicle
- Depot

Director

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Document Control

Version	Date Revised	Revised By	Changes Made
0.1	December 2014	LGIS	Initial Draft for consideration
0.3	January 2015	City of Greater Geraldton	Minor structural amendments, updating of contact details and addition of site maps
0.3	February 2015	City of Greater Geraldton	Addition of Witness to Event Section

Plan Holders

Holders of the plan are to ensure that they keep a copy in the office as well as a copy off-site.

Executive Management Team: Civic Centre

Name	Position	Alternative / Deputy
Ken Diehm	CEO	Directors
Neil Arbuthnot	Director Community Infrastructure	Mark Atkinson
Bob Davis	Director Corporate & Commercial Services	Paul Radalj
Andrea Selvey	Director Creative Communities	Renee Ellis
Phil Melling	Director Sustainable Communities	Murray Connell
Sheri Moulds	Executive Assistant	Leah Taylor

Internal Support Team

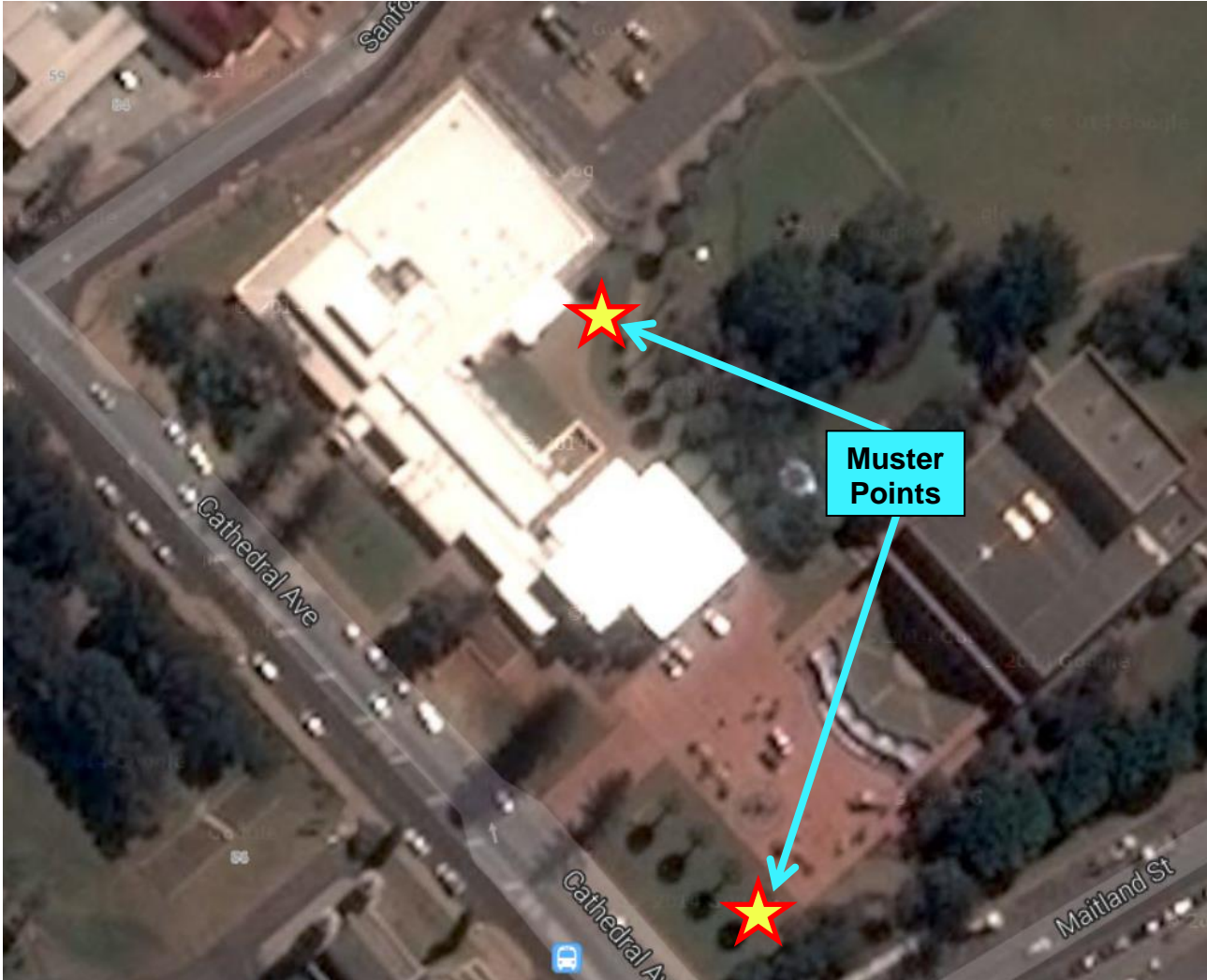
Name	Role	Contact	Alternative / Deputy
Michele McGinity	Corporate Communications	9965 6738 0427784243	XXXXXXXXXXXXXXXX
Dennis Duff	Manager I.C.T. Services	9956 6671 0429 578 937	Robert Gillan
Paul Radalj	Manager Treasury & Finance	9956 6626 0407 232 244	Auke Van Der Weij
Jeff Graham	Manager Corporate Services	9956 6614 0418933071	Towela Mbirimi
Brian Robartson	Manager Economic, Tourism & Property Development	9956 6661 0418 921 981	Laura McLeod
Konrad Seidl	Manager Community Law & Safety	9956 6764 0429 810 821	Johannes Muller
Carrie Puzzar	Manager Human Resources & Safety	9956 6675 0427 326 320	Natalie Hope
Mark Atkinson	Manager Infrastructure Planning & Design	9956 6979 0409 732 787	Allen Duff
Renee Ellis	Manager...	9965 6755 0417 127 977	Chris Budhan

Administrative Support Team

Name	Position	Contact
Margot Adam	Administration Officer	9956 6992
Stacey Herble	Administration Officer	9956 6633
Wendy Cowley	Administration Officer	9965 6781
Amy Zinetti	Administration Officer	9956 6654

Emergency Evacuation Muster Points

Civic Centre

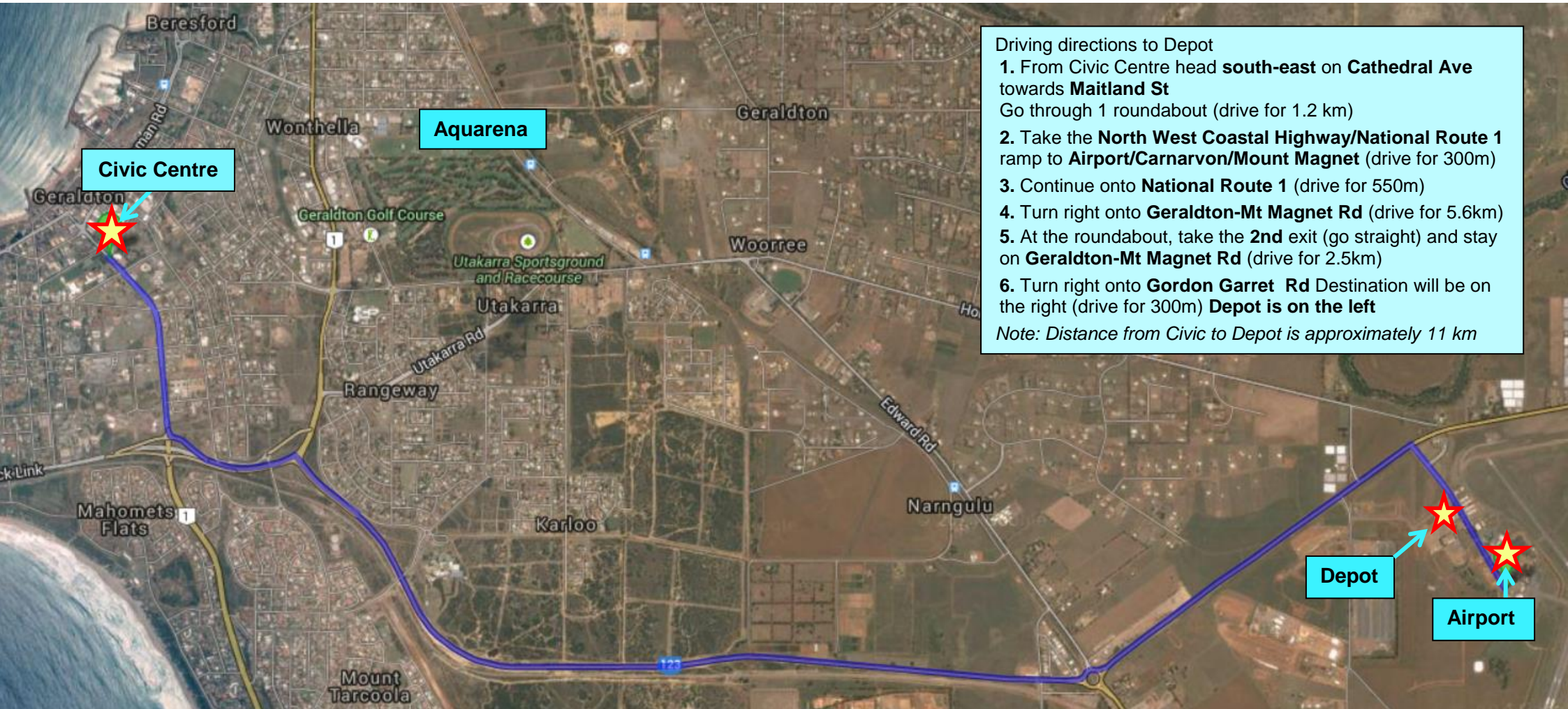


Depot





Direction from Civic Centre to Depot



Driving directions to Depot

1. From Civic Centre head **south-east** on **Cathedral Ave** towards **Maitland St**
Go through 1 roundabout (drive for 1.2 km)
2. Take the **North West Coastal Highway/National Route 1** ramp to **Airport/Carnarvon/Mount Magnet** (drive for 300m)
3. Continue onto **National Route 1** (drive for 550m)
4. Turn right onto **Geraldton-Mt Magnet Rd** (drive for 5.6km)
5. At the roundabout, take the **2nd** exit (go straight) and stay on **Geraldton-Mt Magnet Rd** (drive for 2.5km)
6. Turn right onto **Gordon Garret Rd** Destination will be on the right (drive for 300m) **Depot is on the left**

Note: Distance from Civic to Depot is approximately 11 km

Checklists:

1. Emergency Response & Plan Activation Procedures

Action	Who	Done
Respond to audible and telecommunication alarms	<i>Onsite Staff</i>	
Evacuate Building if required to do so	<i>Wardens</i>	
Implement Emergency Management Plan	<i>Onsite Staff</i>	
Secure impacted sites where safe to do so	<i>Wardens</i>	
Receive information from relevant sources (Internal, DFES, Police, Stakeholders)	<i>Wardens</i>	
Account for and verify staff welfare and safety	<i>Responsible Officers</i>	
Contain the problem where safe to do so / or relevant	<i>Responsible Officers</i>	
Take appropriate safety precautions (e.g. turn off gas, water and electricity).	<i>Brian Robartson</i>	
Convene the EMT to review the situation and / or declare a Business Continuity crisis. Convene in the following order: Civic Centre – Exec Meeting, QEII – Upper Hall, QPT – Mezzanine Floor, and Depot – Meeting Room.	<i>EMT</i>	
Agree future location for convening the EMT and arrange access and /or teleconferencing facilities, if necessary.	<i>EMT</i>	
Invoke Crisis Management & Business Continuity Response Plan if business interruption is estimated to be longer than one working day.	<i>EMT</i>	
Activate the Support and Admin Teams	<i>EMT</i>	
Secure involvement of staff from the specialist support areas with expertise relevant to the incident.	<i>EMT</i>	
Depending on nature of incident, agree reassignment of responsibilities, where appropriate.	<i>EMT</i>	
Contact all staff and advise attendance requirements and location	<i>EMT</i>	

Notes 1): Emergency Response in bold borders

Notes 2): EMT Executive Management Team

2 Assess

Task	Who	Done
<p>Assess the situation and confirm the extent of the incident:</p> <ul style="list-style-type: none"> • What is the nature of the incident & which areas are, or may become impacted? <ul style="list-style-type: none"> ○ Loss of People ○ Loss of (or access to) buildings / infrastructure / equipment ○ Loss of IT or Communications ○ Loss of Supplier • What is the geographic scope of the incident? (Appendix C Maps) • What action has been taken so far? • Is urgent action required? • What needs to be done next? • What is the potential timeline? <p>Delegate responsibilities and determine target times:</p>		
<p>Record all decisions, actions and issues (Admin Support Team)</p>	<p><i>Who?</i></p>	

Task	Who	Done
<p>The EMT's main responsibilities include:</p> <ul style="list-style-type: none"> • Safety and Welfare of Employees. • Minimise the impact on the City's operations and public image (reputation). • Strategically managing the incident, through strong organisational leadership and communications. • Approve necessary expenditure and ratify major recovery decisions. • Ensure that the recovery efforts have the necessary resources and support. • Set critical milestones and time frames for recovery. • Ensure that Employees are fit for the role they're being asked to perform. 		
<p>Determine Employee's welfare requirements:</p> <ul style="list-style-type: none"> • Set up an Employee help-line, (radio, social media) • Establish a program to monitor Employee's medical & stress factors • Engage Employee Assistance Programs (EAP) • Consider Employee's family responsibilities • Assist pregnant Employees • Set up a roster system and / or additional resources to manage workload • Assist people with disabilities • HR to contact family or next of kin only with emergency services provider • Organise refreshments, catering and toilet facilities • Organise suitable transport arrangements for Employees if required • Organise temporary accommodation if required • Ensure strategy for Employees to be paid 		
<p>Ensure regular updates and allocate responsibilities for updates.</p> <p>Methods:</p>	<p><i>EMT / Communications</i></p>	
<p>Current Time-Critical Deliverables:</p> <ul style="list-style-type: none"> ▪ Identify all current time-critical deliverables. Determine priority and effort. 		
<p><i>Insert on the day</i></p>		
<p><i>Insert on the day</i></p>		
<p><i>Insert on the day</i></p>		
<p><i>Insert on the day</i></p>		
<p></p>		
<p></p>		



Task	Who	Done

Critical Business Functions

Recovery Time Objective: 1 Day
Office of the CEO
Advise and instruction to all Employees
Web and Social Media updates
Monitor Media activities
CEO, Mayor and Council liaison and support
Media enquiries, Press Releases and liaison
Community and Stakeholder engagement
Screen Callers into Office of the CEO
Provide advice and specialist guidance regarding internal and external communications
Oversee all media liaison
Community Infrastructure
Aquarena public safety
Aquarena water quality
Supervise children in Aquarena crèche care
Monitor critical projects daily progress and key milestones
Daily monitoring of Project OH&S
Respond to urgent shade sail repairs (make safe for the public)
Removal of fallen trees or branches (make safe for the public)
Coastal erosion issues that may impact public safety and critical infrastructure
Building Maintenance where safety and operations are impacted
Stores (PPE, equipment, Fuel, i.e. operational requirements)
Workshop services (mechanical services)
Depot Administration/Operations
Traffic Management
Maintain public toilets (needles, vandalism)
Access to infrastructure assets information
Infrastructure Works Requests reporting public safety or infrastructure impacted
Maintain the City Waste Disposal Facilities in accordance with the licence
Corporate & Commercial
Establish internal & external communications
Network Security Management
Corporate Business Systems support
User IT Support
Core applications and authoritative datasets
I.T. Infrastructure (hardware and servers)
Core Networking (WAN)
Payroll
Call Centre Set up



Recovery Time Objective: 1 Day
Establish Call Centre / Hot Desk
Continually update and provide specialist guidance to Executive Leadership Team regarding status and actions of IT.
Manage strategic issues relating to IT & Communications.
Ensure planned responses (IT DR) are co-ordinated in line with expectations and capabilities.
Provide information on staff as required.
Facilitate the provision of essential welfare services to staff.
In liaison with emergency services, facilitate informing and updating next of kin.
Manage communications with appropriate external parties (e.g. WorkSafe)
Ensure the ongoing capability to remunerate staff and chapman valley
Manage all financial aspects of the incident including cash flow requirements of the City.
Ensure the Executive Management Team is continually aware of any legal aspects of the situation
Creative Communities
Family Day Care emergency on-call assistance to educators and families
Ensure the safety of children and educators in Day Care
Fortnightly Educator payroll
Sustainable Communities
Respond to dog attacks
Respond to reports of wandering animals
Care for impounded animals
Respond to off-road vehicle matters
Attend to and remove abandoned vehicles
Recover City from Emergencies
Manage/respond to bushfires
Law and safety operations/administration
Building security and emergency repairs (fire, theft, etc)



Recovery Time Objective: 3 Days
Office of the CEO
Liaise with Senior Members of the community and private sectors
Manage the index of Council minutes & register of Resolutions
Monitor mail and correspondence to Mayor and Office of the CEO
Manage Council meetings
Implement Council Decisions
Community Infrastructure
Administer the Weighbridge software
Corporate & Commercial
System and data backups
File services
Licence and Contract Compliance
Procurement
Provide GIS services
Records Management
Incoming mail
ICT Service Desk
Banking (processing of transactions)
Corporate Training (Traffic Management, equipment/PPE usage, etc.)
Creative Communities
Mullewa Cemetery Operations Inc. burials
Sustainable Communities
Complaints – Health – Prioritised response
Ensure the Executive Leadership Team is continually aware of any legal aspects of the situation.
Provide specialist guidance regarding premises and security matters.
Manage strategic issues relating to liaison with emergency services, recovery sites and salvage.



Recovery Time Objective: 5 Days
Office of the CEO
Maintenance of Council Central index of Committee and Council Minutes
Community Infrastructure
Inspection and maintenance of playground equipment
Maintain water for operational requirements
Contract Management - Collection of 240Lt, Front Lift and Hook Lift Skip Bins from Residential, neighbourhood Parks and Commercial Properties in Geraldton and Mullewa
Corporate & Commercial
Manage insurance claims
Contractor induction
Injury Management
Inductions
Website control
Printing services
Creditor payments
Creative Communities
Mullewa Youth Centre services
Manage QPT performances and venue hire / tour companies – <i>Cancelling contracts</i>
Sustainable Communities
Maintain Internet (Web, Facebook, Bookeasy)
Building routine maintenance and repairs
Provide public advice on town planning services / building surveying
Process building applications



Recovery Time Objective: 10 Days
Office of the CEO
None
Community Infrastructure
Daily data entry of Outside Worker's timesheets
Corporate & Commercial
Industrial Relations Advice
Recruitment and Selection
Grievance and discipline management
Procure new workstations
Creative Communities
State/Commonwealth compliance requirements for Family Day Care
Climate control for art collection in the Art Gallery
Sustainable Communities
All other animal complaints
Fire mitigation
Land development - Subdivision
Land and property compliance testing

Recovery Time Objective: 20 Days
Office of the CEO
Preparation of Agendas for Council Meetings
Community Infrastructure
Development and maintenance of asset management plans
Corporate & Commercial
Delegations from Council
Termination Payments
Archiving - retention & disposal
Creative Communities
None
Sustainable Communities
Illegal camping, dumping, and local law issues
Routine field activities - Health
Routine administration
Environmental advice (internet and external)
Natural areas program
Water, energy, corporate Sustainability

Recurring Activities / Events

Refer to Corporate Calendar for list of scheduled corporate commitments, which includes EMT scheduled leave, meetings with external parties, Council, Audit and City committee meeting dates and relevant deadlines for City reporting requirements.

Location of Calendar – TRIM- D-14-51519 2015 Corporate Calendar 2015 V2.1

Month	Activity
Monthly	Updating of Council's Delegated Authority Register
	Renewal of licences under the Health Act for food businesses, lodging houses, offensive trades, caravan parks
Monthly	Turf Maintenance/Renovate
Monthly	LotteryWest
Monthly	Community Sponsorship
Various	Grant Acquittals
Monthly	Statistics relating to Building Permits received/approved
Monthly	Statistics relating to Planning Applications received/approved
Monthly	<i>Insert new activity</i>
Monthly	<i>Insert new activity</i>
Various	Grant Acquittals
Feb/Mar/Aug/Nov	Networking Forums
Bi-monthly	<i>Insert new activity</i>
Bi-monthly	<i>Insert new activity</i>
Quarterly	Community Assistance Fund
Quarterly	Citizenship Ceremonies
Quarterly	Playground Safety Inspections
Quarterly	<i>Insert new activity</i>
Quarterly	<i>Insert new activity</i>
January	Australia Day Citizenship Ceremony and Premier's Citizenship Awards
January	Regional Event Scheme Funding
January	Christmas Carnival Acquittal
January	Compliance Audit Return
January	<i>Insert new activity</i>
January	<i>Insert new activity</i>
February	Budget Review
February	Bridge Termite Inspections
February	Hoon Funding
February	Recreational Boating
February	<i>Insert new activity</i>
February	<i>Insert new activity</i>
March	Aware Grant Application
March	Primary Return Review
March	Lodge Local Government Compliance Audit Return
March	Bridge Termite Inspections

Month	Activity
March	Bike Week
March	Facility Funding
March	Anzac Day Arrangements
March	<i>Insert new activity</i>
March	<i>Insert new activity</i>
April	Youth Week Activities
April	Bridge Gutter Sweeping
April	Circulate Delegation Reminder
April	Maintain Corporate Registers
April	Prepare for Auditors
April	Review of Delegations
April	Budget Preparation
April	Youth Week Activities
April	<i>Insert new activity</i>
April	<i>Insert new activity</i>
May	Appointment of Fire Control Officers
May	Development of Fire Prevention Notice
May	Volunteer Week
May	<i>Insert new activity</i>
May	<i>Insert new activity</i>
June	End-of-financial year payroll processes including generation of Payment Summaries.
June	Printing of Fire Prevention Notices
June	Lease Portfolio Review
June	Publication of Fire Notices (Government Gazette)
June	Performance Reviews
June	<i>Insert new activity</i>
June	<i>Insert new activity</i>
July	Budget
July	End of Financial Year
July	Circulate Annual Returns
July	Maintain Corporate Registers
July	<i>Insert new activity</i>
July	<i>Insert new activity</i>
Month following adoption of budget	Councillor/Staff Service Recognition Function
August	Confirm Local Government Election
August	Local Government Elections Preparation
August	<i>Insert new activity</i>
August	<i>Insert new activity</i>
September	Regional Road Group
September	Publication of Fire Notices (Local Paper)
September	Publication of Fire Control Officers Appointments
September	Insurance Assessments to Lessees
September	<i>Insert new activity</i>

Month	Activity
September	<i>Insert new activity</i>
October	Maintain cash receipting and banking requirements during rates period
October	Pedestrian Bridges & Road Traffic Bridges
October	Policy Review
October	Local Government Elections
October	Financial Audit
October	Animal Registrations
October	<i>Insert new activity</i>
October	<i>Insert new activity</i>
November	Local Law Review
November	Deleted Policy Manual Review
November	Fire Mitigation prior to fire / storm season
November	<i>Insert new activity</i>
November	<i>Insert new activity</i>
December	Jetties and Boat ramps
December	Civil, Parks, Waterways, Plant, Paths
December	Christmas Carnival Arrangements
December	Australia Day Arrangements
December	<i>Insert new activity</i>
December	<i>Insert new activity</i>
TBC	<i>Insert new activity</i>
TBC	<i>Insert new activity</i>
TBC	<i>Insert new activity</i>
TBC	<i>Insert new activity</i>
TBC	<i>Insert new activity</i>



3 React

Task	Who	Done
Record all decisions, actions and issues.	EMT	
Ongoing staff welfare requirements.		
If relevant, ensure external & emergency agencies are involved in management of problem.		
<p>Determine a meeting venue & <u>call a staff meeting</u>. Advise staff:</p> <ul style="list-style-type: none"> ▪ Appraisal of the situation & the scope of the incident ▪ Inform them of the actions already decided upon ▪ Agree on <u>reporting arrangements</u> ▪ Remind them of the <u>Media Policy</u> ▪ Allocation of duties or who will be sent home <u>and why</u> ▪ Review of equipment & resource needs for continuity of services. ▪ When the next communication can be expected and how it will be communicated 		
Refer <u>Scenario-Specific Checklists</u> (Following pages)	EMT	
<p>Consider and agree the following key actions:</p> <ul style="list-style-type: none"> • What is considered to be the recovery objective(s) 		
<ul style="list-style-type: none"> • Instructions / targets for recovery 		
<ul style="list-style-type: none"> • Delegate authority for <u>special</u> responsibilities 		
<ul style="list-style-type: none"> • Assign operational responsibilities 		
<ul style="list-style-type: none"> • Assign salvage or restoration responsibilities 		
<ul style="list-style-type: none"> • Release funds for approved tasks and actions <i>(Need to develop BCM Account for use in BCM incidents)</i> 		



Task	Who	Done
<ul style="list-style-type: none"> • Delegate alternate actions for staff 		
<ul style="list-style-type: none"> • Future communications 		
<ul style="list-style-type: none"> • Set the time, date & venue for the next meeting 		
Use any available channels for Communication for Councillors, Media, Regulators other Stakeholders and Staff as required. Comms Plan?		
Provide full brief to Senior Staff closest to situation.		
Other:		

Notes:

Scenario-Specific Checklists

a) Scenario-Specific Checklist: Loss of (or access to) buildings / infrastructure / equipment

Tasks	Who	Done
Detail Strategy for relocation; consider:		
<ul style="list-style-type: none"> Recovery Site Alternatives (Airport/Depot, Aquarena, Work from home) and storage facilities (see below) 		
<ul style="list-style-type: none"> People & equipment requirements to maintain Critical Activities 		
<ul style="list-style-type: none"> Salvage or restoration activities of the Civic Centre 		
<ul style="list-style-type: none"> How workstations & communications for staff relocating to other sites will be established and allocated 		
<ul style="list-style-type: none"> Staff travel arrangements to other sites 		
<ul style="list-style-type: none"> How workstations & communications for staff working from home will be organised 		
<ul style="list-style-type: none"> Other support areas to assist with relocation 		
<ul style="list-style-type: none"> Familiarise staff with new arrangements and determine communication protocols 		
Arrange security access controls for the affected building		
Arrange security access controls for the new building/s		
Manage any new OHS/Welfare issues that may arise either during relocation or at the new building/s		
Identify & notify Key Contacts of amended working arrangements		
Other: Coffee		

Notes: Recovery Site Alternatives:

Airport/Depot, Aquarena, QE2 (*QE2 is also a Community Emergency Welfare Centre), Geraldton Library, Work from home, QPT, Other LG's /resource sharing, Dongers/Transportables , commercial space, community churches, schools, etc.

Storage: Depot



b) Scenario-Specific Checklist: Loss of IT, Data or Communications

Tasks	Who	Done
Contact IT Support to identify; <ul style="list-style-type: none"> Extent of outage 	EMT	
<ul style="list-style-type: none"> Extent of any data loss 		
<ul style="list-style-type: none"> Restoration target timeframes 		
<ul style="list-style-type: none"> Potential cause(s) 		
Detail strategy and resources to recover / reconstruct lost data where possible:		
Detail approach to IT Recovery and consider: <ul style="list-style-type: none"> Deliverables due today or in the near future: 		
<ul style="list-style-type: none"> Manual procedures or workarounds to complete Critical Business Functions 		
<ul style="list-style-type: none"> System Requirements 		
<ul style="list-style-type: none"> Other productive activities 		
Identify & notify Key Contacts of amended working arrangements		
Ensure ongoing interaction with appropriate IT Incident Management for regular updates and feedback		
Other:		

c) Scenario-Specific Checklist: Loss of People

Tasks	Who	Done
Determine: <ul style="list-style-type: none"> • Number of staff absent and reason for absence, any more potential absentees? • Expected return dates • Critical servicing and staffing gaps 		
<ul style="list-style-type: none"> • Ensure the safety and wellbeing of remaining staff 		
<ul style="list-style-type: none"> • Critical deliverables due today or in the near future 		
<ul style="list-style-type: none"> • The minimum number of staff required to continue operations. 		
<ul style="list-style-type: none"> • Re-allocating critical activities to other competent/trained/skilled (and fit-for-purpose) staff and or contractors 		
<ul style="list-style-type: none"> • Identify any single person dependencies 		
<ul style="list-style-type: none"> • Ceasing non-critical activities (deferred activities) 		
<ul style="list-style-type: none"> • Notification / escalation to Health Department or Worksafe etc. 		
Can temporary competent replacements from other sources be organised? <ul style="list-style-type: none"> ○ Other Local Governments (Chapman Valley, Northampton, Irwin, etc.) ○ Volunteers ○ Existing contractors ○ Recruitment agencies / LoGo Appointments ○ Suitable Former employees ○ Tech Colleges or University students ○ Prisoners 		
Ensure appropriate inductions and supervision is in place		
Use any available channels for Communication for Councillors, Media, Regulators other Stakeholders and Staff as required. Comms Plan?		
Identify & notify Key Contacts of amended working arrangements		
Other:		



d) Scenario-Specific Checklist: Loss of Supplier

Tasks	Who	Done
Contact the Supplier (where possible) and determine:		
<ul style="list-style-type: none"> The nature and extent of the incident 		
<ul style="list-style-type: none"> Have operations ceased entirely, or is it limited 		
<ul style="list-style-type: none"> Are there any alternative suppliers? 		
<ul style="list-style-type: none"> Restoration timeframes and clearance of backlogs (if applicable) 		
<ul style="list-style-type: none"> Provision of any services / goods currently in transit 		
Consider:		
<ul style="list-style-type: none"> Critical activities that rely on this supplier 		
<ul style="list-style-type: none"> Length of time before these activities are impacted 		
<ul style="list-style-type: none"> Alternative procedures 		
<ul style="list-style-type: none"> Alternative suppliers 		
<ul style="list-style-type: none"> Communication updates 		
<ul style="list-style-type: none"> Assign someone to monitor & communicate the situation with the supplier 		
<ul style="list-style-type: none"> Legal / risk implications 		
Identify & notify Key Contacts of amended working arrangements		

4 Manage

The following is a basic standing agenda for each regular meeting. Incident-specific information should also be included where relevant.

Tasks	Who	Done
Arrange responsibilities for tasks & determine target completion times		
<u>Record all decisions, actions and issues.</u>		
Monitor ongoing staff welfare requirements		
Considerations to be discussed and actioned accordingly:		
• Review effectiveness of recovery actions to date		
• Discuss any emerging issues or new information		
• Reassess resource requirements and capabilities		
• Review all working arrangements for affected areas		
• Review Critical Business Activities (Achievement of Recovery Time Objectives)		
• Review existing / current workload and any backlogs		
• Review all outstanding Deferred Activities and arrange resumption		
• Assess any insurance implications		
• Set next meeting and venue		
Identify & notify Key Contacts of amended working arrangements		
Provide feedback, information, copies of communications & copies of logs to the Admin Support Team to ensure that an appropriate record of the incident is maintained		
Provide updates to impacted staff		
Release external communications if deemed appropriate		
Conduct site visit if deemed appropriate		
Ensure all relevant stakeholders continue to be kept informed		
Continue to monitor crisis and issue instructions as appropriate		
Review status of crisis and scale down recovery as situation dictates		

5 Recover

Tasks	Who	Done
Arrange responsibilities for tasks & determine target completion times		
<u>Record all decisions, actions and issues.</u>		
Monitor ongoing staff welfare requirements		
For review and agreement:		
• Completed action items		
• Recovery objectives		
• Plans are in place to deal with any backlogs		
• Communication to staff to recognise efforts		
• Target date for completion of post incident review		
Provide copies of logs and decisions to Admin Support Team		
Undertake <u>post-incident review</u>, including:		
<ul style="list-style-type: none"> • Communication within and between Executive and Support areas • Effectiveness of communication with affected areas • Cost of recovery arrangements and insurance offsets • Effectiveness of recovery strategies • Advice to external and internal customers • Media arrangements • Impact of crisis on City's reputation • Timeframes for tasks and achievement of target • Impact on work flows of affected and interdependent areas • Special staffing arrangements and acknowledgment of contributions. • IT recovery arrangements. 	<i>Support Team</i>	
Present findings to the Audit & Risk Committee for review.		

Notes:



Key Contacts

Contact Points (Internal)

Position	Contact	Alternate
Main Civic Centre Email	council@cgg.wa.gov.au	Set up "Out of Office" Message.
Main Reception	9956 6600	Redirect to after-hours contact centre XXXXXX
Building Maintenance Line (Day)	9956 6994	Redirect to Amy Eastough 9956 6954
FDC On-call Emergency	0408 218 481	Redirect to back-up mobile 0427 217 155
IT Service Desk	9956 6631	Redirect to ICT Coordinator on 042 791 1647, or Call Centre on XXXXXX
Main Email point for media enquiries	MicheleM@cgg.wa.gov.au	Redirect to CorporateCommunications@cgg.wa.gov.au
Main Landfill Site	9923 3188	Redirect to Mark Wong 0427 479 005
Main Reception (Depot)	9956 6701	Redirect to After-hours number XXXXXX
Manager EH&S	0418 940 736	Redirect to Director 0408 471 902
Manager Events, QPT	0427 081 371	Redirect to Events Coordinator 0429 319 495
Manager Planning & Design	0409 732 787	Redirect to Allen Duff 0428 997 018
Manager Operations	0428 939 186	0407 471 128
Manager Project Delivery	0409 442 562	Redirect to 0433 453 441
Manager Regional Waste & Energy	9956 6996	Redirect to Jess Felix 9956 6963
Manager Treasury & Finance (Paul)	0407 232 244	Redirect to Auke 0435 933 073
Manager Corporate Services	0418933071	Redirect to Carrie Puzzar 0427326320
Mayor	0429 939 527	Redirect to 0429 790062
MWCCI (CEO)	9964 6767	Redirect to 9964 6767
MWDC (CEO)	XXXXXX	Redirect to 9921 0702
MWPA? (CEO)	XXXXXX	Redirect to 9964 0520
Senior Risk Advisor	9956 6644	NA
OSH Officer Contact	0427 238 892	Redirect to
Senior ESO	0439 975 140	0407 450630
Senior Health Officer	0421 405 967	0409 774 505

External Contacts

Company	Contact
Police, Fire, Ambulance	000
Police – non emergency	99234 555
Employee Assistance Program	1300 361 008
Department of Local Government & Communities	(08) 6551 8700
Department Parks & Wildlife	9964 0901
Department Fire & Emergency	9956 6000
Geraldton Regional Hospital	9956 2222
Western Power	9921 0336
Water Corporation	9965 7400
Alinta Gas	13 13 52
Dial Before You Dig	1100
Dept of Education (FED)	99641391
Dept of Child Protection	9965 9500
Dept Environment Regulation	9964 0901

Contractors

Service	Contractor	Contact
Asbestos removal	Batavia Timber & Salvage	9923 2281
Banking	Commonwealth Bank	132 221
Bin collections	Veolia	9964 2844
Supply and Spray Bituminous Product	Fulton Hogan Industries Pty Ltd,	9454 0100
Supply, Supply and Lay Bituminous Concrete	Cat West	0418 939 621
Building Security	Sun City Security	9921 1400
Cash collection	Sun City Security	9921 1400

Service	Contractor	Contact
Cleaners	Hot Cleaning, Delron Cleaning, Norfolk Cleaning	Hot Cleaning - 99212544 Delron – 99215950 Norfolk Cleaning – 0409 374 572
Concrete Supplier	Holcim	9964 3888
Deliveries Courier	Acrosstown Courier	9923 0073
Drainage installation	GG Pumps & Electrical	9964 4620
Drainage maintenance	GG Pumps & Electrical	9964 4620
Drainage materials	GNG Concrete & Precast	9923 3705
Electrician	S&K Electrical	9964 6880
Electrician Street Lights	Elite Electrical	9921 4061
Extruded kerbing	Midwest Kerbing	0428 930 097
Fire response Plant Contractors	XXXXXX	XXXXXX
Fire response EM Contractors	XXXXXX	XXXXXX
Fire response DFES	XXXXXX	XXXXXX
Footpaths	Geraldton Mini Concrete	9964 3074
Geotechnical Engineers	GHD	9920 9400
Health Care	Panaceum	9920 8111
Insurance	LGIS	9483 8846
Internet	ISP	8332 3030
Landfill, green, etc	Toxfree	9923 3188
Lawyer	McLeods Barristers	9383 3133
Local newspaper	Geraldton Guardian / Midwest Times	9956 1000
Mail	Australia Post	13 13 18
Mechanical engineers	GHD	9920 9400
Media Designers and Writers	XXXXXX	XXXXXX
Milk delivery	Luscombe Syndicate	9921 2100

Service	Contractor	Contact
Newspaper Delivery	Geraldton Guardian / Midwest Times	9956 1000
Nursery	Volunteers	NA
Plumbing	Active Plumbing	9965 3044
Remove vehicles	MobiTow	0428 939 323
Retrieve vital records	XXXXXX	XXXXXX
Road profiling and kerb grinding	WA Profiling Pty Ltd	9258 4488
Stationery	Staples	9923 4888
Surveyors	HTD	9921 3111
Structural engineers	GHD	9920 9400
Telecommunications	XXXXXX	XXXXXX
Traffic Management	Tru- line Plumbing & Excavation	9923 4700
Trees	Aussie Tree Services	9964 2200
Toilets	Total Toilets	9964 7771
VOIP	Telstra	
Waste/bins	Veolia	9938 9900
Weighbridge software	Mandalay Technologies	+61 407 575 989

City Recovery Information

a) Equipment Cumulative:

		1 day	3 days	5 days	10 days	20 days	>20 days
Workstations/Laptops	Office of the CEO	3	5	5	7	7	7
	Community Infrastructure	10	11	13	28	33	34
	Corporate & Commercial	5	9	11	13	18	24
	Creative Communities	1	1	2	2	2	2
	Sustainable Communities	5	5	8	12	14	16
			24	31	39	62	74
Printers / MFD's	Office of the CEO	1	1	1	2	2	2
	Community Infrastructure	2	2	4	8	9	9
	Corporate & Commercial	1	4	5	6	6	6
	Creative Communities	1	1	1	1	1	1
	Sustainable Communities	3	4	5	5	5	5
			8	12	16	22	23
Phones / Mobiles	Office of the CEO	2	5	5	7	7	7
	Community Infrastructure	31	32	32	33	34	34
	Corporate & Commercial	3	7	7	9	9	10
	Creative Communities	2	2	3	4	4	4
	Sustainable Communities	10	12	15	17	19	21
			48	58	62	70	73

b) People & Equipment per Directorate:

Office of the CEO	Cumulative quantities required within ...					
	1 day	3 days	5 days	10 days	20 days	>20 days
CEO	1	1	1	1	1	1
Manager Office of the CEO	1	1	1	1	1	1
Coordinator Office of the CEO	1	1	1	1	1	1
Officer	0	2	2	4	4	4
Office Equipment (Minimum Levels)						
Workstations / Laptops	3	5	5	7	7	7
Photocopier / Printer / Fax / Scanner	1	1	1	2	2	2
Phones / Mobiles	2	5	5	7	7	7
Infrastructure, Plant and Equipment (Minimum Levels)						
None						

Community Infrastructure	Cumulative quantities required within ...					
	1 day	3 days	5 days	10 days	20 days	>20 days
Director	0	0	0	0	0	0
Manager Project Delivery	1	1	1	1	1	1
Manager Regional Waste & Energy	1	1	1	1	1	1
Manager Operations	4	4	4	4	4	4
Manager Aquarena	1	1	1	1	1	1
Managers: Total	7	7	7	7	7	7
Coordinator Regional Waste & Energy	0	2	3	3	3	3
Supervisor Operations	14	14	14	14	14	14
Coordinator / Supervisor Aquarena	3	3	3	3	3	3
Coordinators / Supervisors: Total	17	19	20	20	20	20
Senior Officer Project Delivery	2	2	2	2	2	2
Senior Officer Planning & Design	1	1	1	1	1	1
Senior Officer Regional Waste & Energy	0	0	2	2	3	3
Team leaders Operations	15	15	15	15	15	15
Senior Officer Aquarena	4	4	4	4	4	4
Senior Officers / Team leaders: Total	22	22	24	24	25	25
Officers Planning & Design	1	1	1	1	1	2
Officers Operations	40	50	60	70	70	70
Officers / Casuals Aquarena	5	5	5	5	5	5
Officers: Total	46	56	66	76	76	77

Workstations / Laptops Project Delivery	1	1	1	1	1	1
Workstations / Laptops Planning & Design	1	1	1	1	1	2
Workstations / Lap Regional Waste & Energy	1	2	2	3	4	4
Workstations / Laptops Operations	4	4	6	20	24	24
Workstations / Laptops Aquarena	3	3	3	3	3	3
Workstations / Laptops: Total	10	11	13	28	33	34
MFD Regional Waste & Energy	0	0	1	2	2	2
MFD Operations	1	1	2	5	6	6
MFD Aquarena	1	1	1	1	1	1
Photocopier / Printer / Fax / Scanner: Total	2	2	4	8	9	9
Phones / Mobiles Project Delivery	2	2	2	2	2	2
Phones / Mobiles Planning & Design	1	1	1	1	1	1
Phones / Mobiles Regional Waste & Energy	1	2	2	3	4	4
Phones / Mobiles Operations	22	22	22	22	22	22
Phones / Mobiles Aquarena	5	5	5	5	5	5
Phones / Mobiles: Totals	31	32	32	33	34	34
EFTPOS / Till						
Safe						
Power and hand tools						
Generators						
Utes / Trucks						
PPE						
Radios						
Heavy Plant						
Minor Plant list (Stores)						
Pumps						
Held-held radios						
Palintest Kit						
Chemical mixers						
Pumps circulation						
Dosing pumps/Manual dose						

Corporate & Commercial	Cumulative quantities required within ...					
	1 day	3 days	5 days	10 days	20 days	>20 days
Director	0	0	0	0	0	0
Manager Treasury & Finance	1	1	1	1	1	1
Manager Information Technology	1	1	1	1	1	1
Manager Governance	0	0	0	0	1	1
Manager HR & Safety	0	1	1	1	1	1
Managers: Total	2	3	3	3	4	4
Coordinator Treasury & Finance	1	1	1	1	2	2
Coordinator Information Technology	1	2	2	2	2	2
Coordinators / Supervisors: Total	2	3	3	3	4	4
Senior Officer Treasury & Finance	1	1	2	2	3	3
Senior Officer Information Technology	2	4	4	4	4	4
Senior Officer HR & Safety	0	1	3	4	4	4
Senior Officers / Team leaders: Total	3	6	9	10	11	11
Officers Treasury & Finance	1	2	3	3	4	5
Officers Information Technology	2	4	4	4	6	6
Officers Governance	0	0	1	1	1	1
Officers: Total	3	6	8	8	11	12
Workstations / Laptops Treasury & Finance	2	3	5	5	8	9
Workstations / Laptops Information Technology	3	5	5	6	8	13
Workstations / Laptops Governance	0	0	0	1	1	1
Workstations / Laptops HR & Safety	0	1	1	1	1	1
Workstations / Laptops: Total	5	9	11	13	18	24
MFD Treasury & Finance	1	1	2	2	2	2
MFD Information Technology	0	2	2	2	2	2
MFD Governance	0	0	0	1	1	1
MFD HR & Safety	0	1	1	1	1	1
Photocopier / Printer / Fax / Scanner: Total	1	4	5	6	6	6
Phones / Mobiles Treasury & Finance	1	2	2	2	2	2
Phones / Mobiles Information Technology	2	4	4	5	5	6
Phones / Mobiles Governance	0	0	0	1	1	1
Phones / Mobiles HR & Safety	0	1	1	1	1	1
Phones / Mobiles: Totals	3	7	7	9	9	10
Physical Server	1	2	2	2	2	4
Storage capacity	5TB	14TB	14TB	20TB	20TB	30TB
Core switches	1	1	1	2	2	2
Firewall	1	1	1	1	1	1
SAT Phones (mobiles and landlines down)	5	5	5	5	5	5
Internet dongles / WiFi Hotspot	3	5	5	6	8	13

Creative Communities	Cumulative quantities required within ...					
	1 day	3 days	5 days	10 days	20 days	>20 days
Director	0	0	0	0	0	0
Manager QPT	0	0	1	1	1	1
Manager Art Gallery	0	0	0	1	1	1
Manager Family & Children's Services	2	3	3	3	3	3
Managers: Total	2	3	4	5	5	5
Coordinator Family & Children's Services	0	1	1	1	1	1
Coordinators / Supervisors: Total	0	1	1	1	1	1
Senior Officer Family & Children's Services	1	1	1	1	1	1
Senior Officers / Team leaders: Total	1	1	1	1	1	1
Officers Family & Children's Services	1	1	1	1	1	1
Officers: Total	1	1	1	1	1	1
Office Equipment (Minimum Levels)						
Workstations / Laptops QPT	0	0	1	1	1	1
Workstations Family & Children's Services	1	1	1	1	1	1
Workstations / Laptops: Total	1	1	2	2	2	2
MFD Family & Children's Services	1	1	1	1	1	1
Printer / MFD's: Total	1	1	1	1	1	1
Phones / Mobiles QPT	0	0	1	1	1	1
Phones Family & Children's Services	2	2	2	3	3	3
Phones / Mobiles: Totals	2	2	3	4	4	4
Infrastructure, Plant and Equipment (Minimum Levels)						
None						

Sustainable Communities	Cumulative quantities required within ...					
	1 day	3 days	5 days	10 days	20 days	>20 days
Director	0	0	0	0	0	0
Manager Community Law and Safety	1	1	1	1	1	1
Manager Environmental Health	0	1	1	1	1	1
Managers: Total	1	2	2	2	2	2
Coordinators / Supervisors: Total	0	0	0	0	0	0
Team leaders Community Law and Safety	4	4	4	4	4	4
Senior Officer Economic, T&P	1	1	1	1	1	1
Senior Officer Environmental Health	0	1	1	1	2	2
Senior Officers / Team leaders: Total	5	6	6	6	7	7
Officers Community Law and Safety	4	4	4	4	4	4
Officers Economic, T&P	1	1	1	1	1	1
Officers Environmental Health	0	1	2	3	4	6
Officers Urban & Regional Development	2	2	4	4	4	4
Officers: Total	7	8	11	12	13	15
Workstations/Lap Community Law and Safety	3	3	3	3	3	3
Workstations / Laptops Economic, T&P	1	1	1	1	1	1
Workstations / Laptops Environmental Health	0	0	2	6	8	10
Workstations / Laptops U & R Development	1	1	2	2	2	2
Workstations / Laptops: Total	5	5	8	12	14	16
MFD Community Law and Safety	1	1	1	1	1	1
MFD Economic, T&P	1	1	1	1	1	1
MFD Environmental Health	0	1	1	1	1	1
MFD U & R Development	1	1	2	2	2	2
Photocopier / Printer / Fax / Scanner: Total	3	4	5	5	5	5
Phones / Mobiles Community Law and Safety	8	8	8	8	8	8
Phones / Mobiles Economic, T&P	1	1	1	1	1	1
Phones / Mobiles Environmental Health	0	2	4	6	8	10
Phones / Mobiles U & R Development	1	1	2	2	2	2
Phones / Mobiles: Totals	10	12	15	17	19	21
Hand-held radios						
Ranger vehicle and equipment						
Manager Vehicle, radio, etc						
CESM (Andy) vehicle						
Senior Fire Officer (Craig) vehicle						
Ranger kits						
Fire kits						
EM kits / Lanyards, etc						
Safety Equipment						
Barriers						
Tarps						

Storage boxes						
Keys						
First Aid Kit						
Routine inspection devices						
Sampling equipment						
Nursery equipment						

c) Systems / Applications

Name of system / application	Recovery Time	
	System	Data
Comm Inf Directory	1	1
CSDB / MyData / Works requests	1	3
Harmony	1	1
Internet	1	1
Intramaps / G.I.S. (Internal system)	1	1
Intranet	1	1
MS Office	1	3
MyData	1	1
Outlook	1	1
Synergy (Dog, Properties)	1	3
Synergy (Payroll & Employee records)	1	1
TRIM	1	1
Dog Pound register	3	3
Indesign	3	3
Mandalay Weighbridge software	3	3
Peoplestrene	3	3
Schneider Electric BMS	3	3
Chameleon	20	20
Links modular solutions	20	20
ESXi (VMware)	I.T.-specific	
Hardware Drivers	I.T.-specific	
Server 2008 R2	I.T.-specific	
Service Desk Plus	I.T.-specific	
SQL Server	I.T.-specific	

d) Vital records / reports / forms / documentation

Name of vital record / report / form / documentation	Location	Recovery Options
Asset Management Plans	Asset Dept	Hard copies
Asset Register	Trim	Hard copies
Bank statements	Trim	Hard copies
<u>Business Continuity Plan</u>	Trim	Hard copies
Council Minutes	Trim	Website
Delegations register	Trim	No alternative
Development Archives	Trim	Hard copies
DR Plan	Trim	Hard copies
Educator timesheets	Office	Copy from Educator
Employee records	Trim	Hard copies in HR Dept
Gift register	Trim	No alternative
Health legislation	Internet	Hard copies
Incident forms	Intranet	Gov & Risk O' Drive & Hardcopies
Insurance forms	Intranet	Gov & Risk O' Drive & Hardcopies
Invoices	Synergy	Hard copies
JSA, SWMS, Start Up, Take 5	Dept O' Drive	Hard copies
Media contact list	Corp Comms	Emails, Hard copies
Network documentation	IT Dept	
Papers - Thermal	NA	External supplier
Pool Operations Manual	Aquarena Dept	Aquarena O'Drive & Manager Hard copies
Purchase Order Books	Finance Dept	
Purchase orders	Synergy	Purchase Order Books
QPT Venue hire contracts	TRIM	E-mails
Rates book	Rates Dept	Synergy
Recovery Plan templates	Trim	Gov & Risk O' Drive & Hardcopies
EM arrangements / Plans	Trim	Community Law & Safety O' Drive & Hardcopies
Safety forms	Server	Hard copies kept at Verita Road
Staff contact list	Personnel Files /Trim	HR Hardcopies
Supplier / Contractor list	Trim	Emails, Hardcopies
Templates- Media & Advertising	Intranet	Corp Comms O'Drive
Timesheets	Intranet	Hardcopies
Works requests	Depot	Hardcopies
Lease Register	Trim	Hardcopies

e) Internal Dependencies

Office of the CEO	Interaction required	Recovery Options
Mayor	City Spokesman	Deputy Mayor
Councillors	Council Meeting Decision's	No Alternative

Community Infrastructure	Interaction required	Recovery Options
Building Maintenance	Building Maintenance	Contractors
Payroll	Payment of Staff	No Alternative
All asset owners	Communications	Mobile / face-to-face
Mark Wong, Jessica Felix,	Sustainable Communities Health Dept	No Alternative
Finance	Expenditure approval	No Alternative

Corporate & Commercial	Interaction required	Recovery Options
Payroll Services	Terminations/Pay	Bank run previous pay run
Receivable / Creditors	Purchasing and Payments	No Alternative
OSH	Worker's Comp	LGIS support
Infrastructure	Property team	Building Maintenance

Creative Communities	Interaction required	Recovery Options
Finance department	Educator payroll	Pay on previous timesheets
Governance & Risk	Insurance	Direct consultation with LGIS
Building Maintenance	Climate control	Move artwork to another venue

Sustainable Communities	Interaction required	Recovery Options
Animal management facility	Animal pound	Alternate site
Building Maintenance	Assistance	Contractors
Corporate Communications	Communications	Contract PR Liaison
Senior Property Officer	Contractors	Alternate contractors

Appendix A – Communications Template

Summary of incident
<i>Crucial details to include: injuries, deaths, major impacts on public services, financial wellbeing of the City of Greater Geraldton, employment, staff (What is happening/what has happened, When, Where</i>
Key Risk Issues
<i>List issues that may attract negative media coverage or public reaction</i>
External:
Internal:
Key Messages
<i>Messages to address key issues. Make sure messages are based on actual actions (for example if you say you have consulted, make sure you can show you have).</i>
External:
Internal:
History
<i>Outline relevant past acts such as preventative measures in place, safety processes undertaken, any reports acted upon or not acted upon, possible causes and any possible areas where City of Greater Geraldton, may be perceived to be at fault. Honesty is vitally important for developing accurate and appropriate responses within the communications process.</i>



Experts and contact details	
<i>Name position responsible for dealing with Communications. This should not be the incident manager who is likely to be busy but a predetermined, preferably media trained staff member. This person does not deal directly with the media but sources information. List others who have the required background information and their contact details.</i>	
Key Stakeholders	
<i>Identify key stakeholders who may need added information or direct briefings such as sponsors or funding agencies, relevant state government departments, MPs, partners. Include contact details.</i>	
Communication Processes	Responsible
<i>Identify processes followed to deliver any information outlined in key messages. List actions still required.</i>	<i>Who carried out or will carry our required communication</i>

Appendix C - Map of Key City Offices within 15km of Civic Centre





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6. MEETING CLOSURE